

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>144#:</b>						
<b>Schedule #:</b> 176 1#:Federal Reports Source Data Folder						
Monthly folders containing pencil copies of Federal and Department Welfare reports and copies of computer reports and memos used in preparation of Federal and Department Welfare reports.	Paper	3/22/1976	Years 15	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 266 16#:Services Report - Intake & Follow-up Forms - Initial Contact Forms						
Confidential, de-identified, forms relating to individual clients of alcoholism treatment facilities, funded by OADAP. The Initial Contact Form describes the circumstances of the initial contact with the client and his/her disposition. The Intake and Follow-up Form describes the demographic and socio-economic characteristics and alcoholic behavior of the alcoholic client when he/she enters treatment and 180 day later. The Services Report details the services delivered to the client for each month he/she is in treatment.	Paper	12/8/1978	Years 1	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 446 29:4A & 4D Hearing Recordings						
Digital recordings of hearings requested by clients appealing department decisions.	Digital File	4/27/2017	Years 12	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 446 30:4A Hearing/Decisions - Hearings Withdrawn/Abandoned						
Case records where clients withdrew or did not show up for hearings to appeal department decisions.	Mixed	3/28/2018	Years 2	Years 10	Destroy	Current
Mixed media includes paper, digital records and physical media.						
Paper records are kept in the agency for 2 years and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 10 years will be applied to digital records stored in OnBase at the State Records Center.						
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<b>Schedule #:</b> 446 31:4D Decisions - DSER						

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Case records of decisions made on amount of money responsible parent owes the State of Maine.	Mixed	3/28/2018	Years 2	Years 20	Destroy	Current
Mixed media includes paper, digital records and physical media.						
Paper records are kept in the agency for 2 years and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 20 years will be applied to digital records stored in OnBase at the State Records Center.						
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Schedule #: 446	35:4A Hearing/Decisions - Hearings Actually Held					
Case records where hearings are actually held to appeal department decisions.	Mixed	3/28/2018	Years 2	Years 10	Destroy	Current
Mixed media includes paper, digital records and physical media.						
Paper records are kept in the agency for 2 years and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 10 years will be applied to digital records stored in OnBase at the State Records Center.						
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Schedule #: 462	6#:Deputy Commissioners Files					
General correspondence, reports, grants, resource material, etc. pertaining to the various bureaus of the Department: Health, Income Maintenance, Maine's Elderly, Medical Services, Social Services, Rehabilitation, Financial Services, and Employee Assistance Program.	Paper	4/24/1986	Years 7	No Retention 0	Destroy	Current
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Schedule #: 555	32#:Health Manpower Status Report					
These reports are printouts of survey data for every two years beginning in 1976 to the present for the health occupations of dentists, allopathic physicians, osteopathic physicians, registered nurses, licensed practical nurses, optometrists, physical therapists and podiatrists along with the health facilities of hospitals, nursing homes, boarding homes and health related facilities.	Computer Printout	9/23/1986	Years 25	No Retention 0	Destroy	Current
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Schedule #: 565	4#:OPAC Publicity Photographs					

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The photographs are of past and present commissions (some deceased) and other personnel of the Department. Includes Client Informaton and Photograph Permission forms.	Roll Microfilm	6/30/1994	Years 5	No Retention	0 Archives	Current
<b>Schedule #:</b> 577 33#:Director, Office of Data, Research and Vital Statistics-Gen. Correspondence.						
The division works on vital statistics, population estimates & projicions, demographic informaton, health status indicators, health care expenditure figure, health manpower & resource inventories, health facility utilization and occupational health profiles. Develops an overall data system for health planning and cooperates with many other health agencies in data collection. The Division provides research, statistical and technical services within the Office and to the Bureaus Surveillance Project in cooperation with the National Institute for Occupational Safety & Health.	Paper	11/17/1986	Years 2	No Retention	0 Destroy	Current
<b>Schedule #:</b> 600 34#:Medicaid Cost Report System						
Nursing home cost reports and materials related to annual surveys of health facilities and biennial surveys of health manpower professions.	Paper	12/18/1986	Years 6	No Retention	0 Destroy	Current
<b>Schedule #:</b> 672 45#:Childhood Death Interview Study, 1986 - Surveys						
Files containing: Maine Childhood Death Survey Case Questionnaire or Maine Childhood Death Survey Control Questionnaire: Age Less Than One Year or Maine Childgood Death Survey Control Questionnaire: Ages 1-17 Years. Files also contain birth certificate search forms and Occupational/Industry code search forms. Retain in agency until updated.	Magnetic Tape	4/5/1988	Destroy When Updated	0 No Retention	0 Destroy	Current
Files containing: Maine Childhood Death Survey Case Questionnaire or Maine Childhood Death Survey Control Questionnaire: Age Less Than One Year or Maine Childgood Death Survey Control Questionnaire: Ages 1-17 Years. Files also contain birth certificate search forms and Occupational/Industry code search forms.	Paper	4/5/1988	Years 1	Years 5	Destroy	Current
<b>Schedule #:</b> 672 46#:Childhood Death Interview Study, 1986 - Coding Sheets						
Forms with data coded from Maine Childhood Death Survey Questionnaires which were used by keypunch operators to enter the data. Retain in agency until updated.	Magnetic Tape	4/5/1988	Destroy When Updated	0 No Retention	0 Destroy	Current

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Forms with data coded from Maine Childhood Death Survey Questionnaires which were used by keypunch operators to enter the data.	Paper	4/5/1988	Years	1	Years	5	Destroy	Current
Schedule #: 672	47#:Childhood Death Interview Study, 1986 - Welfare Search							
Forms containing identifier data on the study child, used in conducting a search on child's and family's welfare status.	Paper	4/5/1988	Years	1	Years	5	Destroy	Current
Forms containing identifier data on the study child, used in conducting a search on child's and family's welfare status. Retain in agency until updated.	Magnetic Tape	4/5/1988	Destroy When Updated	0	No Retention	0	Destroy	Current
Schedule #: 736	48#:Survey Operations Unit - Correspondence & Reports							
This unit creates survey forms for other departments. General correspondence and copies of statistical reports/forms prepared for other divisions of the Department.	Paper	4/4/1989	Years	3	No Retention	0	Destroy	Current
Schedule #: 763	50#:Infant Mortality Prevention Project 1985							
Files contain Medical Record Audit Forms of children mortality aged less than one year.	Paper	5/24/1989	Years	0	Years	10	Destroy	Current
Schedule #: 871	66#:Miscellaneous Correspondence (Office of Administrative Hearings)							
Letters, hearing officer calendars/hearing lists, letters advising of employee coverage, confirmation of scheduled hearings, staff training, etc.	Paper	10/2/1990	Years	5	No Retention	0	Destroy	Current
Schedule #: 1440	115:Commissioners Correspondence							
Incoming and outgoing correspondence from the Commissioner of Human Services	Paper	12/11/2002	Years	2	Years	0	Archives	Current
Schedule #: 1518	68#:Miscellaneous Statistical Information							

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Description			Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
			Paper	2/6/1986	0	0	Destroy	Current		
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Schedule #:	1594	169#:DTL Tapes								
Non Record Material , these backup tapes for Human services daily work.			Magnetic Tape	12/5/2003	Destroy When Updated	0	Destroy When Updated	0	Destroy	Current
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Schedule #:	1614	170dtl:DHS Email data on Magnetic tape								
These records are being kept at the request of the Attorney General's Office in case we are involved in a lawsuit. The e-mail data on the tapes is reveiwed to determine whether or not an individual or the department has taken any inappropriate action.			Magnetic Tape	5/17/2004		0	Destroy When Updated	0	Destroy	Current
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Schedule #:	1713	180#:DHHS Major Litigation								
The files contain correspondence, court documents; reports and historic information regarding a variety of legal actions against the Department or against a private agency that we contract with to provide services. They are used by the Commissioner’s Legal staff for background information when preparing for future litigation or they may also become active case files for further legal action. They may also be used to develop future DHHS policies or for program development. These records are used by potentially all programs within the Department. Below is a list of programs:			Paper	1/19/2007	Years	2	Years	10	Destroy	Current
Office of Child and Family Services Services & Quality Improvement Office of Elder Services Cognitive & Physical Disability Services Office of Advocacy Services Services Office of Substance Abuse Services Social Services Office of Adult Mental Health Services DHHS Regional Operations Services Purchased Services Rate Setting			Office of Integrated  Office of Adult with  Office of Multicultural  Audit – MaineCare and  DHHS Human Resources Licensing and Regulatory  Administrative Hearings							
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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1713 181:Risinger v Concannon Legal Case Files  This is file material related to the lawsuit filed by the Risinger family against the Commissioners of the Departments of Human Services and Mental Health, Mental Retardation and Substance Abuse Services in 2000. The plaintiffs asked the court to order the Departments to reviews Medicaid policies and Departmental practices and procedures. These records are being kept on advice from an Assistant Attorney General. This body of files is unique because it is the single collected body of information which includes notices to parents of children who might join the class action; provider records which include provider budgets, service charts, contracts, and e- mails otherwise not available on DHHS servers, requests for proposals for the contracted services, and the complete response to an initial request for production of documents as part of the legal case. This case was boxed with another legal case that has been released by the AG's office for destruction; a new series has been developed for this group of files.	Paper	6/23/2017 Years	2 Years	23	Destroy	Current
<b>Schedule #:</b> 2078 75:Early Care and Education Task Force Committee Records  The Early Care and Education Task Force was established in 1997 by the Children's Cabinet (a Cabinet-level working group including the Commissioners of the Departments of Education, Corrections, Human Services and Behavioral and Developmental Services, among others) and charged with a mission to promote learning as a function that begins at birth, in order to help Maine children reach their highest potential.  The Early Care and Education Task Force supported programs for •The early home visiting of families with new infants by public health nurses, community health nurses and others; •The support and promotion of "parents as children's first teachers"; •The support of initiatives for parent resources and parenting education.  The work of the Early Care and Education Task Force informed and supported programs and initiatives related to the above-described bullets, which still are in place and functioning as of this inventory. These records provide the background that led to policies, practices and programs that continue to administer this work.  Records include, but are not limited to, committee foundation documents (including enabling documents, initial appointments and membership lists, meeting schedules); progress reports and key documents used as guidance, resources and decision-making advisory items; sub committee meeting agendas and notes; Task Force meeting agendas and notes, and grant application supporting documents.	Paper	8/4/2017 Years	15 No Retention	0	Archives	Current

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<b>Schedule #:</b> 2079 76:Productivity Realization Task Force Files  The Productivity Realization Task Force was established by PL 1995, Chapter 99, Part D, ssD-1 to identify and implement efficiencies and cost savings in state government. These files are the documented DHS response to the initiative, and are the support behind decisions to eliminate positions and modify, eliminate or create new programs or policies. These records are no longer active and would be used for historical reference only by state government agencies or members of the public. File contents include documentation of decisions regarding staff and programs in the form of correspondence, proposed org charts and budgets, meeting notes, draft policies and final reports.	Paper	8/4/2017 Years	22	No Retention	0 Archives	Current
<b>Schedule #:</b> 2080 77:Blue Ribbon Commission to Study the Regulation of Health Care Expenditures - DHHS Files  The Blue Ribbon commission to Study the Regulation of Health Care Expenditures was established in 1987 by Public Law, Chapter 440, to study the regulation of health care expenditures and recommend appropriate health care regulations to ensure accessibility and affordability of health care.  These files are the documented DHS response to the initiative, and are the support behind decisions to repeal laws enabling various Commissions, revise the definitions of qualifying health care facilities and types of treatment, establish revenue and reimbursement limits and apportionment methods, and other decisions that shaped health care delivery systems and payment systems in Maine. These records are no longer active and would be used for historical reference only by state government agencies or members of the public. File contents include Commission administrative evidence (such as the enabling legislation and membership), meeting schedules, agendas, notes and supporting documents, study materials gathered from other health care delivery and payment systems, reports and studies prepared by a paid consultant to the Commission, documentation of Commission deliberation and draft recommendations, testimony from public hearings, final reports and legislation adopting the recommendations of the Commission which led to the 1989 health care reform movement in Maine	Paper	8/10/2017 Years	22	No Retention	0 Archives	Current
<b>Schedule #:</b> 2082 78:Advisory Council for the Reorganization and Unification of the Department of Human Services and the Department of Behavioral and Developmental Services						

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<p>The Advisory Council for the Reorganization and Unification of the Department of Human Services and the Department of Behavioral and Developmental Services (hereafter referred to as “The Council”) was established in May 2003 by Executive Order of Governor John E. Baldacci. The charge of The Council was to study the reorganization of these two departments and make recommendations for efficiencies, cost savings, improved services and enhanced external relationships that could be achieved by uniting the two Departments.</p> <p>The Council was led by a Chair and staffed by appointees, and was supported by Sub-Committees led by Council members. The Department of Human Services served as the lead and primary support to the Council including staffing, funding, and administrative resources.</p> <p>The work of the Council resulted in reports to the Legislature and Governor, which subsequently led to the creation of the Department of Health and Human Services through Maine State Statute. These records provide the background that led to the leadership structure, establishment, maintenance and/or elimination of Bureaus, Divisions, Programs and/or staff; supported the creation of frameworks for funding, policies, practices and programs that exist as of this inventory.</p> <p>Records include, but are not limited to, committee foundation documents (including enabling documents, initial appointments and membership lists, meeting schedules); progress reports and key documents used as guidance, resources and decision-making advisory items; sub committee meeting agendas and notes; Council meeting agendas and notes, financial records related to the Council such as expense accounts and purchases. These are the foundation documents creating the DHHS; they are kept as historical supporting documents of the creation of a Cabinet-level state of Maine Department.</p>	Paper	9/1/2017	Years 15	No Retention 0	Archives	Current

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**Schedule #:** 2082 80:Commissioner's Implementation Advisory Team Records



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<p>The Commissioner's Implementation Advisory Committee was a team comprised of Department of Health and Human Services (DHS) and Department of Behavioral and Developmental Services (BDS) staff, as well as contracted staff from the University of Maine. This objective of this group was to implement the recommendations of the Advisory Council for the Reorganization and Unification of the Departments of Human Services and Behavioral and Developmental Services, and actualize the Public Law establishing the Department of Health and Human Services.</p> <p>This team was formed in conceptualized in June 2003 and met and produced recommendations and work products through 2005. The work of this team contributed to the formation of the Department of Health and Human Services, including the merger or sunset of programs; reorganizing, elimination or amending of staff positions; establishing the Departmental structure alignment including executive chains of command; and merging finance and technology systems into one Department.</p> <p>Records include, but are not limited to, committee foundation documents (including enabling documents, initial appointments and membership lists, meeting schedules); progress reports and key documents used as guidance, resources and decision-making advisory items; sub committee meeting agendas and notes; Task Force meeting agendas and notes, employee and Committee member surveys and response data compilations, preliminary recommendations and final reports.</p>	Paper	10/20/2017 Years	14	No Retention	0 Archives	Current
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<b>Schedule #:</b>	2083	79:Dorothea Dix Psychiatric Center Workgroup Files				
<p>Public Law 2011 Chapter 380 established a work group to develop a plan and suggest implementing legislation regarding the future role and structure of the Dorothea Dix Psychiatric Center, including transferring programs and funding elsewhere in the Department of Health and Human Services. This fileset are the working papers of that group, and they support the DHHS and the former DDPC. These are the historical records for the work of the group and provide the rationale and foundation for decisions that were made to transfer resources, patients, records and funding, and led to recommendations to the Commissioner regarding the decision to close or keep open the DDPC.</p> <p>This fileset includes the Workgroup's foundation documents, meeting minutes and agendas, architectural proposals in a series of phases, progress and final reports from the Workgroup, federal guidance documents, Medicaid data, and de-identified patient profiles that informed and assisted the group in decision making regarding the future of the hospital and the patients.</p>	Paper	9/1/2017 Years	6	No Retention	0 Archives	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 2086 155:Health Care Reform Files - Pre 1993 Files result from study of the delivery of health care services in Maine. File contents also include documentation relating to health care reform in Maine, as well as Federal health care reform initiatives. Includes: copies of proposed State and Federal Legislation Research and study materials, related correspondence.	Paper	9/1/2017 Years	7	No Retention	0 Archives	Current
<b>Schedule #:</b> 2086 156:Health Care Reform Initiative 2010 The Department of Health and Human Services undertook a study of the delivery of health care services in Maine and the reimbursement system and structure of health care service delivery in response to and in accordance with implementation of the provisions of national health care reform, known as the Affordable Care Act.  These files are the basis and justification for the Maine DHHS response to the Affordable Care Act, and they support DHHS and the Office of MaineCare Services. These are historical documents that provide the context and rationale for changes in Maine's health care delivery and payment systems that are still in place. Included in these files are the work products of DHHS' paid contractor, Deloitte, as well as advisories from the federal branch and the Maine Governor's office, status reports, meeting notes, budget projections, financial proposals and final reports.	Paper	9/1/2017 Years	7	No Retention	0 Archives	Current
<b>144Z:Disability Determination Services</b>						
<b>Schedule #:</b> 649 63#:Facilities Management Files - DDS Physician vendor contracts (inhouse physicians) and other contractors.	Paper	11/18/1987 Years	5	No Retention	0 Destroy	Current
<b>Schedule #:</b> 649 64#:In House Reports - DDS Inventory of Physician Examiners (patient's evaluation); professional qualification of these physicians; quality reports on the staff; agency performance and related correspondence.	Paper	8/22/1989 Years	3	No Retention	0 Destroy	Current
<b>Schedule #:</b> 649 65#:Residual Files - DDS						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Copy of Social Security Disability Claimant Decision; claim examiner's worksheet; copies of vouchers for medical vendors for services rendered; claimant travel vouchers. Keep in agency 18 months.	Hard Disk	9/9/1994	Years 2	No Retention	0	Destroy Current
Copy of Social Security Disability Claimant Decision; claim examiner's worksheet; copies of vouchers for medical vendors for services rendered; claimant travel vouchers. Keep in agency 3 months.	Paper	8/28/1996	Retention of Less than 1 Year - See Description	No Retention	0	Destroy Current
<b>Schedule #:</b> 956      67#:Disability Claim Folders These folders contain records on Social Security Disability applicants. Files include the application (SSA-3368), work history (SSA-3369), medical reports (hospital records, doctor's report, lab work, etc.), Psychiatric Review Form (SSA-2506), Residual Functional Capacity (SSA-4734), work sheets (RDD3), Data Transmittal Forms (831). Send to Social Security Administration after determination is made (usually about 2 months).						
	Paper	9/11/1991	Contingent Upon Event - See Description	No Retention	0	See Description Current
<b>Schedule #:</b> 1186      66#:Payment Vouchers for Consultative Examinations, Medical Evidence of Record, and Applicant Travel These files include vouchers that relate to payment made by DDS (with SSA funds) for Consultative Examinations (CER 20), Medical Evidence of Record from hospitals and schools (MER R20H), doctors and other providers of medical evidence (MER R20D), and applicant travel (CTRVL). DDS and the State of Maine Bureau of Accounts and Control use this information to pay for medical evidence for Social Security disability claims. DDS electronically transfers this information to Accounts and Controls. Ergo, these retained payment vouchers are now the only "hard copies" kept by the State, making them the "official" payment document. (Accounts & Control keeps microfilm backup of all payment documents; the data entered on computer is not regarded as sufficient documentation.)						
	Paper	1/17/1996	Years 3	Years	4	Destroy Current
<b>144A:Disease Control &amp; Prevention</b> <b>Schedule #:</b> 83      2#:Cancer Control - Subject (General) Files These files cover a considerable range of subjects related to cancer control including Tumor Registry, Special Cancer Related Studies, and other miscellaneous data. The program has been discontinued and if reorganized is expected to take a different direction with revised filing structure.						
	Paper	1/22/1975	Years 0	Years	2	Archives Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 88 3A:Water Test Reports - Private Contains source, age of water source, of a well or spring how is it lined, constructed by, kinds of piping used, water used by, etc. Retain in agency for 1 year then microfilm and destroy paper.	Paper	5/22/1986	Years 1	No Retention 0	Destroy	Current
Contains source, age of water source, of a well or spring how is it lined, constructed by, kinds of piping used, water used by, etc.	Roll Microfilm	5/22/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 88 3B:Water Reports - Community Includes water analysis, correspondence, background documents. Retain in agency for 1 year then microfilm and destroy paper.	Roll Microfilm	5/22/1986	Years 10	No Retention 0	Destroy	Current
Includes water analysis, correspondence, background documents. Retain in agency for 1 year then microfilm and destroy paper	Paper	5/22/1986	Years 1	No Retention 0	Destroy	Current
<b>Schedule #:</b> 107 4#:Child Health Case Files Individual case file folders containing pertinent medical and social information for each client receiving services in Child Health Program. Closed cases retained in agency 2 years after calendar year.	Paper	3/4/2002	Years 2	Years 10	Destroy	Current
<b>Schedule #:</b> 297 5#:Newborn Screening Reports of laboratory specimen submitted, lab results reported and follow up services performed on behalf of newborn clients.	Paper	4/2/1980	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 297 6#:Grant Applications Applications describe health problems and proposed related services to be provided to Department by agency, with detailed cost information and justification.	Paper	4/2/1980	Years 3	Years 2	Destroy	Current
<b>Schedule #:</b> 297 7#:Program Reports						

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Grantee program reports, monthly/quarterly/year end.	Paper	4/2/1980	Years 3	Years 2	Destroy	Current
<b>Schedule #:</b> 327 8#:Confidential Venereal Disease Case Report V-11						
Patient's name and address, age, sex, etc., name of disease and reporting physician, results of laboratory test done, and treatment.	Paper	3/8/1995	Years 1	No Retention	0 Destroy	Current
<b>Schedule #:</b> 332 9#:Oral Survey Statistics						
Oral survey statistics of Maine preschool and elementary school children (1940-1975).	Paper	4/4/1984	Years 10	No Retention	0 Archives	Current
<b>Schedule #:</b> 391 10#:Diabetes Control Project						
Correspondence, reports, resources (articles, newsletters, etc.).	Paper	10/22/1985	Years 3	Years 3	Destroy	Current
<b>Schedule #:</b> 413 11#:Maine Cancer Registration Form, Form #CA005						
Reports, letters, technical information.	Paper	12/26/1985	Years 5	No Retention	0 Destroy	Current
<b>Schedule #:</b> 413 13#:Environmental Letters and Related Technical Information						
Environmental letters, correspondence, technical information.	Paper	12/26/1985	Years 5	Years 10	Destroy	Current
<b>Schedule #:</b> 414 14#:Community High Blood Pressure Program Grants/Contracts for Screening						
Original request for proposals; signed and authorized grant materials; monthly data; reports.	Paper	1/2/1986	Years 6	No Retention	0 Destroy	Current
<b>Schedule #:</b> 415 15#:Director's Files - Div. of Disease Control						

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Letters, correspondence, technical information. Note: Archives Advisory Board has required this series to be reviewed after 10 years.	Paper	1/8/1986 Years	5	Years 10	See Description	Current
<b>Schedule #:</b> 416 16#:Director of Office on AIDS Files						
Letters, correspondence, technical information, reports. Note: Archives Advisory Board has required this series to be reviewed after 10 years.	Paper	3/8/1995 Years	3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 417 17#:Epidemiology Reports, Outbreak Reports, and Educational Material						
Disease outbreak reports, epidemiology, educational material.	Paper	7/30/1993 Years	2	Years 13	Destroy	Current
<b>Schedule #:</b> 418 18#:Disease Outbreak Cases, Reports & Related Correspondence						
Disease control correspondence, monthly reports, and cases on disease outbreaks.	Paper	7/30/1993 Years	2	Years 13	Destroy	Current
<b>Schedule #:</b> 435 20#:Confidential Laboratory Reports						
Serology, chlamydia, throat swab, gonorrhea, tuberculosis, enteric, B. pertussis, ova & parasites, fungus culture, misc. bacti identification, rubella, HSV, CMV, Toxo, aspergillus, cryptococcus, histo, blasto, coccidio, TORCH, HTLV-III, rabies, campylobacter. Laboratory determination of alcohol in blood or breath, toxicology and blood alcohol, misc. testing form letters: asbestos, drugs, Certificate of Drug Analysis, autopsy examination letter, radon. Microfilm and destroy paper.	Paper	3/8/1995 Years	1	No Retention 0	Destroy	Current
<b>Schedule #:</b> 475 21#:Research File						
Research on Giardia, asbestos in water and slow sand filters. Retain until updated.	Paper	5/22/1986 Destroy When Updated	0	No Retention 0	Destroy	Current
<b>Schedule #:</b> 483 22#:Indoor Air Quality Program						

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Case files, general correspondence, lab results from water and air testing of radon, billing, equipment lists.	Paper	5/29/1986	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 498 25#:Community Health Promotion Program Files						
Contains grants such as stress management, cardiovascular cancer, etc. and related documents and correspondence. Programs catered to clients needs.	Paper	12/10/1986	Years 5	Years 5	Destroy	Current
<b>Schedule #:</b> 498 26#:Training Slides - Div. of Health Promotion & Education						
These slides are used to provide to people who need increased competencies; they are also used to train trainees.	Still Photograph	12/10/1986	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 498 27#:Diethylstilbestrol (DES) File						
Contains correspondence, media releases, legislative reports, other states programs, workshops, etc. Includes confidential card file of names.	Paper	12/10/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 498 28#:General Office File - Div. of Health Promotion & Education						
Responses to inquiries, interfiled with nonrecord material.	Paper	12/10/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 498 29#:Community Health Promotion Program -Audio Tapes						
Employee Health Forum audio tapes. Retain until updated.	Audio Tape	12/10/1986	Destroy When Updated 0	No Retention 0	Destroy	Current
<b>Schedule #:</b> 498 30#:Request for Services - Alcohol and Drug Abuse Program						
Request for materials or networking.	Paper	12/10/1986	Years 1	No Retention 0	Destroy	Current
<b>Schedule #:</b> 501 38#:Directors Referral File - Maternal & Child Health						

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Description			Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Correspondence to and from other departments and other units of Human Services. Also contains printed rules and regulations.			Paper	7/8/1986	Years 10	No Retention 0	Destroy	Current
Schedule #:	501	40#:Resource Files - Maternal & Child Health						
Materials relating to Division programs to assist in the efficient operation of the programs; printed material on Health Education; material on setting up conferences.			Paper	7/8/1986	Years 5	No Retention 0	Destroy	Current
Schedule #:	501	41#:WIC Local Agencies File						
Contains contracts, Guide cards, inspection reports, and related documents.			Paper	7/8/1986	Years 3	No Retention 0	Destroy	Current
Schedule #:	503	49#:Cancer Registry File						
Data taken from reports submitted by physicians and hospitals of incidents of diagnosed cancer. Retain until updated.			Computer Printout	7/10/1986	Destroy When Updated 0	No Retention 0	Destroy	Current
Data taken from reports submitted by physicians and hospitals of incidents of diagnosed cancer. Retain until updated.			Digital File	7/10/1986	Destroy When Updated 0	No Retention 0	Destroy	Current
Data taken from reports submitted by physicians and hospitals of incidents of diagnosed cancer. Retain until information can be updated to new media. Keep in record center 20 years or until media can be updated.			Paper	7/10/1986	Destroy When Updated 0	No Retention 20	Destroy	Current
Schedule #:	503	50#:Toxicology Program						
Contains documents relating to other state programs, associations, ground water, pesticides, air pollution and correspondence related.			Paper	7/10/1986	Years 10	No Retention 0	Archives	Current
Schedule #:	503	51#:Radon File						



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Journal articles, mining studies, biological effects, etc.; new data on radon studies.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 503 52#:Assistant Director's File/Environmental Health						
Subject files of cancer cluster studies, environmental investigation reports and data, and environmental health topics such as pesticides. land poisons, air pollution, food additives, etc.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 504 53#:Tuberculosis Reports						
Contains statewide statistics on case registers, morbidity reports, etc., and related correspondence and documents.	Paper	11/1/2002	Years 3	Years 7	Destroy	Current
<b>Schedule #:</b> 504 54#:General Office File - TB Control						
Includes TB physicians and consultants, correspondence and documents related to tuberculosis.	Paper	7/10/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 504 55#:TB Patients Cases						
Client case files of individuals who have tuberculosis, includes typical information, lab reports, x-ray reports, physician report, etc., includes prophylaxis cases.	Paper	1/10/2002	Years 3	Years 7	Destroy	Current
<b>Schedule #:</b> 504 56#:TB Card File						
Contains name, address, age etc. of patient as well as summary of medications and physicians diagnosis.	Paper	7/10/1986	Years 75	No Retention 0	Destroy	Current
<b>Schedule #:</b> 505 57#:General File - Div. of Disease Control						
Contains vaccine requisition, delivery and receiving reports; purchase orders; purchase requisitions; physician certification forms; vaccine log sheets; vaccination authorizations; complications report forms; case investigation forms; correspondence; related documents.	Paper	7/10/1986	Years 2	No Retention 0	Destroy	Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 505 58#:Physicians Reports - Disease Control Includes reports of amount and type of vaccine used, and physicians signed receipt of vaccine received.	Paper	2/11/1992	Years 1	Years 9	Destroy	Current
<b>Schedule #:</b> 505 59#:Management Reports - Disease Control Varied computer reports relating to immunization program.	Computer Printout	7/10/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 505 60#:School Summary Reports Annual survey of school children immunization.	Paper	2/11/1992	Years 1	Years 4	Destroy	Current
<b>Schedule #:</b> 505 61#:Survey of Two Year Olds Random survey of 2 year olds to determine what vaccines have been received.	Paper	7/10/1986	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 521 112#:Licensure for Water Treatment Plant Operators Includes applications, exams, and renewals. There are several classes of licenses - class 1, 2, 3, and 4. After a minimum period of time, an applicant can take an exam for the next higher class. Otherwise, the current license has to renewed every 2 years. Retention counted from date license becomes inactive.	Paper	12/4/1986	Years 4	No Retention 0	Destroy	Current
<b>Schedule #:</b> 521 113#:Minutes of Meetings-Bd. of Licensure of Water Treatment Plant Operators. Meetings to discuss, and dispose of issues, problems, and policies of the Board.	Paper	12/4/1986	Years 5	No Retention 0	Archives	Current
<b>Schedule #:</b> 521 114#:Reference File-Board of Licensure of Water Treatment Plant Operators						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
Contains exam & renewal receipts, refunds, statutes, non-record material lists of applicants that passed the test, and other varied related documents and correspondence.	Paper	12/4/1986	Years 10	No Retention	0	Destroy	Current
Schedule #: 523 133#:Legislative Files							
Legislative documents, journals, registers, etc.	Paper	7/10/1986	Years 1	No Retention	0	Destroy	Current
Schedule #: 568 146#:Maine WIC Program Vendor Files							
Vendor Application, a food list/price survey, a State Agency - Vendor Agreement, correspondence to and from the vendor, etc. Retain in agency for 5 years then film and destroy paper	Paper	10/17/1986	Years 5	No Retention	0	Destroy	Current
Vendor Application, a food list/price survey, a State Agency - Vendor Agreement, correspondence to and from the vendor, etc.	Roll Microfilm	10/17/1986	Years 10	No Retention	0	Destroy	Current
Schedule #: 663 152#:Hill-Burton Hospital Construction File							
Distribution records of hospital debt under Hill-Burton regulation and inquiries from the public. Hill-Burton rules and regulations. Program will be completed in 1990. Transfer to Archives in 1992.	Paper	2/1/1988	Contingent Upon Event - See Description	No Retention	0	Archives	Current
Schedule #: 663 153#:Certificate of Need Program(Hospitals)							
Application approvals, blueprints, specifications, financial reports, feasibility analyses, legal proceedings documents, correspondence and related documents. Proposals submitted for Dept. of Human Services approval by health care facilities such as hospitals, nursing homes, home health agencies, residential rehabilitation facilities. Proposals often involve construction and renovation, but also include creation of new health services through either converting existing beds to a different level of care or purchase of major medical equipment, or may involve programmatic changes through adding new health professionals to a staff. Transfers of facility ownership are also reviewed.	Paper	9/1/1995	Years 5	Years	15	Destroy	Current
Schedule #: 669 156#:AIDS Patient Files							

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Diagnostic reports, lab reports, test result tracking forms, Personal contract sheet, and related correspondence. Retention counted from date of patient's death.	Paper	3/8/1995	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 695 157#:Nutrition Resource File						
Records and reference material related to nutrition education. Records intergrated throughout file: nutrition screening (Birth - 1yr) (1yr - 5yr), Food record.	Paper	8/19/1988	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 725 158#:Research File for Harvard University Collaborative Breast Cancer Study						
36 page women's health care questionnaire and related correspondence. in agency until 2 years after completion.	Keep Paper	12/1/1988	Contingent Upon Event - See Description 0	Years 5	Destroy	Current
<b>Schedule #:</b> 726 159#:Environmental Health Occupational Health/Safety Program						
Surveys sent to physicians, received back for statistial information, reports of occupational diseases, information concerning occupational diseases.	Paper	5/13/1991	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 742 160#:Health Planner Reference File						
Records will be generated related to grants management and program activities of pre-school Handicapped Children Committee and sub group committees including correspondence, grants, and minutes of committee meetings.	Paper	2/1/1988	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 777 3#:Lab Results/Reports (D.E.P.)						
Results/reports of the chemical analysis of water, oil, soils, and other materials. It also includes request sheets, which are requested by D.E.P. staff as well as other state agencies.	Paper	5/15/1989	Years 2	Years 10	Archives	Current
<b>Schedule #:</b> 777 70#:Original Charts/Traces (D.E.P.)						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Instrumentation charts and graphs used to calculate results of various tests. Tests include: gasoline, Fuel Oil, PCB's, Pb, Cr, Pesticides, etc. in order to report out toxic substances.	Paper	5/15/1989	Years 2	Years 10	Destroy	Current
<b>Schedule #:</b> 777 71#:Lab Record Books (D.E.P.)						
Books kept by analyst to record observations and methods of daily work about analysis of toxic substances.	Paper	5/15/1989	Years 2	Years 10	Archives	Current
<b>Schedule #:</b> 777 72#:Correspondence File (D.E.P. Lab)						
Transitory correspondence such as: confirmation of telephone calls; answers to inquiries; inter-office memos for possible projects; memos; letters; requests; reports	Paper	5/15/1989	Years 2	No Retention	0 Destroy	Current
<b>Schedule #:</b> 1275 163:Maine Breast & Cervical Health Program Client Files						
When a woman enrolls in our program, a file is created. Filed include: MBCHP Enrollment Form, MBCHP Visit Form and sometimes a breast or cervical screening follow-up report. Her file is given a number. Files for deceased women and women 65 and older will be sent to the Records Center. After 5 years RC retention, they will be destroyed.	Paper	2/5/2003	Years 2	Years 5	Destroy	Current
<b>Schedule #:</b> 1623 100A:Cancer Rehabilitation and Support Services Survey						
This is a survey completed by cancer survivors to determine what services they used during their treatment and to assess what other services cancer survivors need. These surveys were used to write a report that is being used by the Maine Comprehensive Cancer Control Program to determine what rehabilitation and survivorship gaps exist. The report was created since no published data exists regarding the type of rehabilitation and survivorship services being utilized by cancer survivors in Maine. During the period of rehabilitation and survivorship, individuals may be faced with physical, emotional, social and vocational challenges. Counseling, support groups, and techniques for symptom management all may influence the quality of life of the cancer survivor. Paper is destroyed after report is generated.	Paper	3/29/2005	Variable - See Description	0	0 Destroy	Current
<b>Schedule #:</b> 1623 100B:Cancer Rehabilitation and Support Services Survey Report						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
This is a survey completed by cancer survivors to determine what services they used during their treatment and to assess what other services cancer survivors need. These surveys were used to write a report that is being used by the Maine Comprehensive Cancer Control Program to determine what rehabilitation and survivorship gaps exist. The report was created since no published data exists regarding the type of rehabilitation and survivorship services being utilized by cancer survivors in Maine. During the period of rehabilitation and survivorship, individuals may be faced with physical, emotional, social and vocational challenges. Counseling, support groups, and techniques for symptom management all may influence the quality of life of the cancer survivor.	Paper	3/29/2005	Years 3	0	Archives	Current
<hr/>						
<b>Schedule #:</b> 1687 170#:Public Water System Non-Total Coliform Analyses						
Records are kept to show the compliance or non-compliance of Public Water Systems with State and Federal water testing requirements. These water analyses support the Drinking Water Program and the Health Inspection Program, two agencies of the Division of Environmental Health. The records are used by the Drinking Water Program to confirm the presence or absence of non-total-coliform contaminants in drinking water and to verify that samples are taken at required intervals. A typical file will contain information that shows the concentration of organic and inorganic chemicals in a water sample, the name and Public Water System Identification number, the name of the sampler, and the date the sample was taken.	Hard Disk	7/21/2008	Years 12	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1687 171#: Public Water System Total Coliform (including E.-coli) Analyses						
Records are kept to show the compliance or non-compliance of Public Water Systems with State and Federal water testing requirements. These water analyses support the Drinking Water Program and the Health Inspection Program, two agencies of the Division of Environmental Health. The records are used by the Drinking Water Program to confirm the presence or absence of Total Coliform and E.-coli in drinking water and to verify that samples are taken at required intervals. A typical file will contain information that shows the presence or absence of Total Coliform Bacteria and E-Coli Bacteria in a water sample, the name and Public Water System Identification number, the name of the sampler, and the date the sample was taken.	Hard Disk	7/21/2008	Years 4	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 2066 172:HIV Test Collection Form						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>These are questionnaire-type forms used by clinicians in a patient/provider setting. They are used to gather personal identifying patient information and they are used to identify which type of tests a patient is submitting to, as well as patient risk factors. They are a two part paper form comprised of a white original top sheet and a self-duplicating bottom yellow duplicate.</p> <p>These records are kept by the agency for 5 years as directed by the US CDC. They support the HIV/STD/Niral Hepatitis Prevention Program.</p> <p>They are completed by the clinician in a meeting with a patient prior to tests for communicable diseases. They are then submitted to the HIV/STD/Niral Hepatitis Prevention Program where they are uploaded into an electronic database located at the U.S. DHHS, Centers for Disease Control. The information is used to collect data and statistics on states by the US CDC as well as for other program and budgeting purposes.</p>	C	5/12/2017	Years 1	Years 4	Destroy	Current

**Schedule #:** 2117 173:Maine CDC Institutional Review Board

<p>The Maine CDC Institutional Review Board was an internal, multidisciplinary group, operating as a registered IRB by the US Department of Health and Human Services' Office for Human Research Protections. This panel existed to review and act on requests for data by researchers both internal and external.</p> <p>Three types of file materials were kept:</p> <ul style="list-style-type: none"><li>• Foundational documents including IRB registration applications and renewals; assurances of compliance; the IRB guiding principles and mission statement; the IRB annual membership rosters; and the IRB Standard Operating Procedures document and Policy and Procedures Manual</li><li>• Meeting Files including agendas and minutes, supporting documents for agenda items, records of IRB determinations and summaries of IRB activities and actions</li><li>• Case files including applicant request forms, research protocols, correspondence associated with IRB determinations, renewals and terminations.</li></ul>	Paper	7/26/2018	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
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Retain in agency 3 years post conclusion of research.

## 144R:District Operations

**Schedule #:** 27 1#:Regional Vocational Rehabilitation Case Files

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms. This series establishes a retention period for microfiche created 1983-1989.	Microfiche	12/7/1990 Years	3	No Retention	0 Destroy	Current
<b>Schedule #:</b> 27 1A:Regional Rehabilitation Case Files (Successful Rehabilitation)						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms. Retain in agency until closed plus 5 years.	Paper	12/7/1990 Years	5	No Retention	0 Destroy	Current
<b>Schedule #:</b> 27 1B:Regional Rehabilitation Case Files (Non-Successful Rehabilitation)						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms. Retain in agency until closed plus 3 years.	Paper	12/7/1990 Years	3	No Retention	0 Destroy	Current
<b>Schedule #:</b> 115 9D:AFDC & ABD Denied Cases						
No description provided. Microfilm and destroy.	Paper	10/5/1976 Years	1	No Retention	0 Destroy	Current
<b>Schedule #:</b> 115 9E:MA Closed Case Records (Including Microfilm)						
These do not involve expenditure of funds.	Paper	10/5/1976 Years	3	No Retention	0 Destroy	Current
<b>Schedule #:</b> 428 19#:Regional Public Health Nursing Case Files						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence. The case file usually contains narrative dictation and a combination of the attached forms.	Paper	11/2/2000 Years	1	Years	24 Destroy	Current
<b>Schedule #:</b> 428 9C:AABD Closed Records						



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Folders or microfilm where client died prior to 7/1/72. Retention period is to satisfy possible legal action involving estate claims. Counted from closing.	Paper	10/5/1976	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 430 27A:Regional Child & Family Services Case Files - Child Protective						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for child protective cases. Keep in agency five years after last child turns 18.	Roll Microfilm	5/15/1992	Years 5	Years 20	Destroy	Current
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for child protective services. Keep in agency 5 years after last child turns 18.	Paper	5/15/1992	Years 5	Years 20	Destroy	Current
<b>Schedule #:</b> 430 27B:Regional Child & Family Services Case Files - Substitute Care						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for substitute care. Retain in agency until last child turns 18 or leaves care between 18 and 21. Microfilm no longer being created.	Microfiche	5/15/1992	Contingent Upon Event - See Description	0 Years 100	Destroy	Current
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for substitute care. Retain in agency until last child turns 18 or leaves care between 18 and 21.	Paper	5/15/1992	Contingent Upon Event - See Description	0 Years 100	Destroy	Current
<b>Schedule #:</b> 430 27C:Regional Child & Family Services Case Files - Adoption Cases						
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for adoption cases. Keep in agency three years after adoption is final.	Microfiche	5/15/1992	Years 3	Years 100	Destroy	Current
Case files established for the purpose of maintaining narrative dictation, program documents, and correspondence for adoption cases. Keep in agency until 3 years after adoption is final.	Paper	5/15/1992	Years 3	Years 100	Destroy	Current

## 144E:Environmental Health

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 519 101#:Community Fluoridation & Chemical Record Sheets						
Daily record sheet used by community water districts to record type and amount of chemicals used in water systems. Microfilm before destroying.	Paper	7/10/1986	Years 1	No Retention 0	Destroy	Current
Daily record sheet used by community water districts to record type and amount of chemicals used in water systems.	Roll Microfilm	7/10/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 519 102#:Cross-Connections						
Industries or business using chemicals or hazardous materials applications, approvals, correspondence and related documents, includes inspection file.	Paper	7/10/1986	Years 20	No Retention 0	Destroy	Current
<b>Schedule #:</b> 519 103#:Non-Community Water Analysis						
Water analysis reports and correspondence and related documents.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 519 104#:Public Water Supply Resource File						
This file consists of a combination of correspondence, engineering and technical data. It requires a long retention period and is referred to a great deal by the engineers. 300 water companies are involved.	Paper	8/31/1994	Years 3	Years 75	Destroy	Current
<b>Schedule #:</b> 519 105#:Swimming Pools - Public						
Bacteriological Tests. Microfilming is no longer being done.	Paper	11/21/1991	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 520 106#:General Office File/Rad Health						
Materials, documents, reports, etc. to promote the effective conduct of the program.	Paper	7/10/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 520 107#:Monitoring Reports						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Contains reports detailing amounts of radiation in several areas. Nine stations are monitored on a monthly basis, with an additional 52 stations checked quarterly. The primary purpose of the monitoring is to determine background radiation levels within 50 miles of Maine Yankee Atomic.	Paper	7/13/1993	Years 5	Years 25	Archives	Current
<hr/>						
<b>Schedule #:</b> 520 108#:NRC Licenses (Nuclear Regulatory Commission Licenses)						
Copies of license, inspection reports, correspondence and documents relating to ionizing radiation. Retain until firm is no longer in business.	Paper	7/10/1986	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
<hr/>						
<b>Schedule #:</b> 520 109#:Reference File - Rad Health						
Contains various documents, brochures, correspondence assist in the effective implementation of program policy.	Paper	7/10/1986	Years	10	No Retention	0 Destroy Current
<hr/>						
<b>Schedule #:</b> 520 110#:X-ray Registrations						
License to operate equipment, inspection reports, site plans, maintenance reports, correspondence and related documents. Retain in agency until equipment is replaced or removed.	Paper	7/10/1986	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
<hr/>						
<b>Schedule #:</b> 522 116#:Application for Licenses - Health Inspection Program						
Contains applications for a license to operate an eating or lodging place or a combination of both. Licenses are for caterers, senior citizens meals, vending machines, mobile eating places, commissaries, schools, campgrounds, body artists, mass gatherings, compressed air, tobacco, public pools and spas, and youth camps. Applications may include water test results, septic design certifications and compressed air tests.	Paper	1/16/2019	Years	3	No Retention	0 Destroy Current
<hr/>						
Includes records in the electronic database	Digital Data	1/16/2019	Years	3	No Retention	0 Destroy Current
<hr/>						
<b>Schedule #:</b> 522 124#:Health Inspection Program License File						

# Department Series Report

## 10: Human Services

Description			Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
All licenses issued by the Health Inspection Program, including conditional licenses, annual renewal applications and license stubs. All applications and denials.			Mixed	1/16/2019	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
Applications and approved applications/approved licenses will be retained for 3 years. Denied licenses will be retained for 2 years after legal action is completed provided a minimum of 3 years total retention is reached.										
Mixed media includes paper and electronic records.										
Schedule #:	522	128#:Health Inspector Accident Reports								
Accident and/or injury reports and related documents and correspondence.			Mixed	1/16/2019	Years	3	No Retention	0	Destroy	Current
Mixed media includes paper and electronic records.										
Schedule #:	522	170:Enforcements and Compliance Documents								
These records are used by the Health Inspection Program to request corrective actions be taken by establishments/body artists that are not meeting Health Inspection Program regulations. Enforcement action may be taken and fines assessed on establishments that have repeat violations and/or excess critical violations; do not meet statute and/or rule regulations; or are imminent health hazards. If corrective action is not taken to achieve compliance with state rules and regulations, suspension or revocation and non-renewal of license may occur.			Paper	1/16/2019	Years	3	No Retention	0	Destroy	Current
These documents are retention copies for the agency and the licensee. They contain establishment/body artists history, all related enforcement and compliance actions, including intra/interdepartmental correspondence, documentation of imminent health hazards, correspondence from licensees to the public, private concerns, documentation of fines and penalties, photos, and other related enforcement correspondence.										
These reports are shared with other agencies as necessary and with the media and/or public when requested. These documents are also made available under the Freedom of Access Act.										
			Digital File	1/16/2019	Years	3	No Retention	0	Destroy	Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 523      135#:Director's File - Health Engineering - Administration Contains special reports, personnel confidential files, slides for presentations, etc.	Paper	7/10/1986	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 524      136#:Exam File - Licensed Site Evaluators Written and field exams for applicants for licensed site evaluators.(Plumbing.)	Paper	5/29/2013	Years 10	0	Destroy	Current
<b>Schedule #:</b> 524      137#:General Correspondence - Plumbing Program Correspondence related to permits from towns, including reports to towns.	Paper	7/6/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 524      138#:General Office File - Plumbing Program Documents and materials to promote the efficient operations of the program.	Paper	7/6/1986	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 524      139A:Issued Permits - Plumbing Inspectors - Agency Copy of Microfilm Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future. Copies of permits issued to local plumbing inspectors, including certificates of approval.	Roll Microfilm	6/2/1992	Years 50	No Retention 0	Destroy	Current
<b>Schedule #:</b> 524      139B:Issued Permits - Plumbing Inspectors (Security Microfilm)						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future. Copies of permits issued to local plumbing inspectors, including certificates of approval.	Roll Microfilm	6/2/1992	Years 0	Years 50	Archives	Current
<hr/>						
<b>Schedule #:</b> 524 139C:Issued Permits - Plumbing Inspectors						
Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future. Permits issued by plumbing inspectors, including certificate of approval. This acknowledges a media change already made by DHHS - it does not change the disposition as determined by the Archives Advisory Board.	Digital File	12/15/2011	Years 50	No Retention 0	Archives	Current
<hr/>						
<b>Schedule #:</b> 524 139D:Issued Permits - Plumbing Inspectors						
Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future. Copies of permits issued to local plumbing inspectors, including certificates of approval. Destroy after conversion to digital media.	Paper	12/15/2011	Years 1	No Retention 0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 524 139E:Issued Permits - Plumbing Inspectors - Internal Permits						
Internal and External plumbing permits are sent to the Department by local municipalities with payment of fees. Internal permits are used just to reconcile fees received and then can be destroyed. External (subsurface) permits are retained on file for future reference. Because systems can remain in the ground for long timeframes, these external subsurface permits can be referred to up to 50 years in the future.	Paper	5/29/2013	Years 1	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 524 140A:Licensed Site Evaluators - Application Materials						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complain and enforcement documentation. Files include those who apply for but fail to pass the examination. Series 140A contains Initial Application materials.	Paper	5/29/2013	Years	15	0	Destroy	Current
<hr/>							
Schedule #: 524	140B:Licensed Site Evaluators - Individual Exams						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complain and enforcement documentation. Files include those who apply but fail to pass the examination. Series 140B contains Individual Exams.	Paper	5/29/2013	Years	15	0	Destroy	Current
<hr/>							
Schedule #: 524	140C:Licensed Site Evaluators - Bi-annual Renewal and Address Change Information						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complain and enforcement documentation. Files include those who apply for but fail to pass the examination. Series 140C contains Bi-annual Renewal and Address Change Information.	Paper	5/29/2013	Years	6	0	Destroy	Current
<hr/>							
Schedule #: 524	140D:Licensed Site Evaluators - Correspondence						
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complaint and enforcement documentation. These files include those who apply for but fail to pass the examination. Series 140D contains Correspondence. Retention contingent upon notification of retirement, death or non-renewal.	Paper	5/29/2013	Contingent Upon Event - See Description	0	0	Destroy	Current
<hr/>							
Schedule #: 524	140E:Licensed Site Evaluators - Complaint and Enforcement Information						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
These are the files maintained on each licensed site evaluator in maine. The files include records on: initial application materials; individual exams (both written and field); bi-annual renewal information including address changes; correspondence between the department and the site evaluator; complaint and enforcement documentation. These files include those who apply for but fail to pass the examination. Series 140D contains Correspondence. Retention contingent upon notification of retirement, death or non-renewal.	Paper	5/29/2013	Contingent Upon Event - See Description	0	0	Destroy	Current	
Schedule #: 524	141#:Miscellaneous Plumbing Plans							
Applications, inspections, site plans, correspondence and related documents.	Paper	3/15/1999	Years	1	Years	20	Destroy	Current
Applications, inspections, site plans, correspondence and related documents. and minimum lot size files.	Roll Microfilm	11/13/1991	Years	30	No Retention	0	Destroy	Current
Schedule #: 524	142#:Plumbing Inspection File							
Inspector information form, appointment letters, test, test answer sheet, complaints, correspondence, related documents.	Paper	7/6/1986	Years	10	No Retention	0	Destroy	Current
Schedule #: 524	143#:Product Approvals - Plumbing Program							
Plumbing-related approvals of equipment. Includes product data sheets, correspondence and related documents. Retain until equipment is no longer manufactured.	Paper	7/6/1986	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
Schedule #: 524	144#:Rule 80K File - Plumbing Program							
District Court rule to allow Land Use Law enforcement by public appointed officials such as plumbing inspectors; includes exams and related correspondence and documents.	Paper	7/6/1986	Years	20	No Retention	0	Destroy	Current
Schedule #: 524	145#:Swimming Pools- Plumbing Program							



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Plans, registration form, correspondence and related documents. Destroy after microfilming.	Paper	7/6/1986	Years 2	No Retention	0	Destroy Current
<b>Schedule #:</b> 1034 146#:Radioactive Material Ownership - Applications						
Applications from facilities to own radioactive material. Anyone who wants to utilize nuclear material i.e. for nuclear medicine; moisture density gages; or belt weight gages for the lumber company must have a licence. Files include: applications, license fell information, and related information and correspondence.	Paper	4/16/1993	Years 7	No Retention	0	Archives Current
<b>Schedule #:</b> 1034 147#:Radioactive Material Ownership - Inspection Reports						
Inspection reports for facilities that own radioactive material.	Paper	4/16/1993	Years 7	No Retention	0	Archives Current
<b>Schedule #:</b> 1084 148#:Maine Water Well Drillers Registration Applications						
Before a well driller can become certified to dig wells, he must have experience as an apprentice and he must be registered.	Paper	3/12/1994	Years 10	No Retention	0	Destroy Current
<b>Schedule #:</b> 1084 149#:Minutes of Bd. Meetings (Maine Water Well Drillers and Pump Installers						
It is the function of the Board to initiate the process of locating all well drillers and pump installers in the State of Maine so they may be certified. Files contain minutes and agenda of the Board.	Paper	3/12/1994	Years 10	No Retention	0	Archives Current
<b>Schedule #:</b> 1084 150#:Pump Installers File Registration Applications						
Before pump installers can work they must become certified to install pumps, they must register and have a certain amount of experience. Files contain application and related correspondence.	Paper	3/12/1994	Years 10	No Retention	0	Destroy Current
<b>Schedule #:</b> 1215 161#:Drinking Water Revolving Loan Fund						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
Statutory Required under EPA regulations. These records are used by the administrators of the Drinking Water State Revolving Loan fund. They will be used to centrally locate all the records of the State Revolving Loan fund. The EPA loans money to public water supply companies to bring such companies up to EPA standards. It usually means new filtering systems, but can mean other requirements. The files contain, project information, loan applications EPA correspondence and miscellaneous correspondence.	CD	2/19/1997	Years 30	No Retention	0	Destroy	Current
Statutory Required under EPA regulations. These records are used by the administrators of the Drinking Water State Revolving Loan fund. They will be used to centrally locate all the records of the State Revolving Loan fund. The EPA loans money to public water supply companies to bring such companies up to EPA standards. It usually means new filtering systems, but can mean other requirements. The files contain, project information, loan applications EPA correspondence and miscellaneous correspondence.	Paper	2/19/1997	Years 5	No Retention	0	Destroy	Current
<b>Schedule #:</b> 1225 163#:Drinking Water Revolving Loan Fund Project Plans							
Statutory required under EPA regulations (Environmental Protection Agency). The records are used by the administrators of the Drinking Water State Revolving Loan Fund. The series will be centrally located. Health Engineering receives money from the EPA to loan to public drinking water plants to upgrade their facilities. Health Engineering keeps a copy of these plans to monitor compliance. Project plans include system improvement to treatment plant storage, pumping stations, water mains.	Paper	5/19/1997	Years 5	No Retention	0	Destroy	Current
<b>Schedule #:</b> 1269 164#:Drinking Water GIS Program							
Statutory requirement under EPA regulations. The records are used by the administrators of the Drinking Water GIS Program. Files include source water protection files, reports, new well approvals, water plant engineering plans. These are requests for approval for transient non-community public water supply well.	Paper	7/22/1998	Years 5	Years	0	Destroy	Current
Statutory requirement under EPA regulations. The records are used by the administrators of the Drinking Water GIS Program. Files include source water protection files, reports, new well approvals, water plant engineering plans. These are requests for approval for transient non-community public water supply well. Destroy paper after microfilming.	Roll Microfilm	7/22/1998	Years 25	Years	0	Destroy	Current

# Department Series Report

## 10: Human Services

Description			Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Schedule #:	1318	165#:Radon Service Provider Registration Files								
The Radon Program provides education, technical resources, and support on radon/residential radiation issues, and to regulate the radon industry. This agency registers all radon service provicers. A radon service provider does radon testing, fixes radon problems, fixes radon test kits or could do all three. Files contain: registration of radon service providers, Applications, Inspection Reports, Proficiency Files and related correspondence.			Paper	7/13/1999	5	Years	0	Destroy	Current	
Schedule #:	1318	166:Radon Equipment Evaluation								
The Radon Program provides education, technical resources, and support on radon/residential radiation issues, and to regulate the radon industry.Files include: radon equipment evaluation and related correspondence. Keep in Agency until equipment no longer available or in general use.			Paper	7/13/1999	Variable - See Description	0	Years	0	Destroy	Current
Schedule #:	1318	167:Project Case Files								
The Radon Program provides education, technical resources, and support on radon/residential radiation issues, and to regulate the radon industry. The are many projects; the House Evaluation Program is but one project. A project now in progress is testing the wells on the islands in Penobscot Bay to evaluate if there is a correlation between types of rock and the incidence of cancer. Homeowner Agreement and Radon Assessment Forms. Keep in Agency 5 years after project complete.			Paper	7/13/1999	Years	5	Years	0	Archives	Current
Schedule #:	1441	168:Maine Yankee Operational & Decommissioning Records								
The office of Nuclear Safety was established in 1988 to monitor Maine Yankee's day to day operation. Environmental factors and legal considerations make these records invaluable for future state business regarding the Maine Yankee Power Plant. Researchers will use these records with a view to Maine Yankee's operational history from its planning stage through decommissioning. Files include: Permits; gas releases; engineering calculation sheets; termination plan; and related correspondence, categorized by subject chronologically.			Paper	12/11/2002	Retain Until Inactive	0	Years	0	Archives	Current
Schedule #:	1726	169#:Clinical Laboratory Improvement Amendment (CLIA) Laboratory Programs Certifications & Inspections								

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Due to the fact that laboratory results are integral in many of the decisions healthcare providers make about a patient's health status such as obtaining a diagnosis, developing a course of action for treatment, or monitoring the response to therapy, the Division of Licensing and Regulatory Services (DLRS) monitors and reviews programs/activities of over 1600 laboratory and healthcare providers for compliance with established quality standards. It has sole responsibility for both certification (Federal) and licensure (State) of healthcare and related facilities, and several categories of healthcare professionals providing services.	Paper	2/11/2009	Years 3	Years 17	Destroy	Current

These particular records are maintained by DLRS because the Division is also responsible for scheduling and performing initial certification, recertification, complaint and validation surveys of CLIA (Clinical Laboratory Improvement Amendment) laboratories in Maine to ensure compliance with Federal regulations. DLRS is responsible for issuing Health Screening Laboratory permits and Maine Medical Laboratories licenses as well. These records are maintained to memorialize applications, licenses, permits, surveys, complaints and related documents. These records are used by the CLIA Program's Quality Assurance Officer, who has oversight of this Program.

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### 144M:Finance

**Schedule #:** 36 22#:Purchase Authorization - Fourth Copy - Child Welfare

Form G-16A, Rev. 8/60. A four part form to record purchase of (articles) commodities or services for committed children.	Paper	11/22/1974	Years 2	No Retention	0	Destroy	Current
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**Schedule #:** 57 23#:Welfare Bills

Form G 16, white - Vendor copy (submit with invoice). The G 16 is a purchase authorization prior the billing for articles on services provided to a child committed to the care of the department. A copy or the vendor invoice is attached to the G 16 and become part of the file. Note: Retain in agency for 2 fiscal years from original Date	Paper	11/22/1974	Years 2	No Retention	0	Destroy	Current
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**Schedule #:** 79 2#:Purchase of Service Contracts - Audit Files

These files are ordered by name of contractor. Copies of contracts are those subjected to audit. Each folder contains (1) Copy of each contract or grant audited, miscellaneous work papers, (3) Memos, (4) Correspondence.	Paper	2/11/1992	Years 5	Years 5	Destroy	Current
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# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 104 3#:Data Entry Tape Contains line items of medical bills in provider sequence, used for input to the medicaid payment system. Retain in agency 2 months.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 104 4#:Medicaid Back-Up Tape Record of payment of a medical providers, used as vendor master file back-up. Retain in agency 1 month.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 104 5#:Medicaid History File History of paid medicaid transactions, used to determine duplicate payments. Retain in agency 1 month.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 104 6#:Medicaid Purge File Contains transactions over three years old on history file. History file is purge annually to update this file. Retain permanently in CCS.	Paper	4/14/1975	Permanent or Indefinite	0	No Retention	0 See Description Current
<b>Schedule #:</b> 104 7#:Medicaid Payment Tape Contains provider identification for mailing, client information, and check amount, used to print checks. Retain in agency 3 months.	Paper	4/14/1975	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 173 8#:Region I-A, Food Stamp Files.						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Material collected on an individual recipient basis (Food Stamp Program-Income Maintenance Case File) and relating to the national program of the U.S. Department of Agriculture Food Stamp Program. The file consists of individual folders containing the following documents, but not necessarily all documents are to be found in each case-folder. Applications, Declaration Statements, Eligibility Notification, Disposition Sheets, Certification or Notice of Change. Retain in agency for life of record and 2 years after closing.	Paper	5/28/1975	Years 2	No Retention 0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 373 14#:URES A Collection Records						
(United Reciprocal Enforcement Support Act) Detailed listing of absent parents by state, court, Docket No., URESA, No., and amount collected. These lists are printed for payments to other states. Child support payments from absent parents living in Maine for children living out of state with their custodial parent. Retain 3 months in agency, then destroy.	Paper	8/21/1985	Retention of Less than 1 Year - See Description	0	No Retention 0	Destroy Current
<hr/>						
(United Reciprocal Enforcement Support Act) Detailed listing of absent parents by state, court, Docket No., URESA, No., and amount collected. These lists are printed for payments to other states. Child support payments from absent parents living in Maine for children living out of state with their custodial parent.	Microfiche	8/21/1985	Years 100	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 485 11A:Human Service-Audit						
Audits Maine Medicaid Program in nursing homes, home health agencies, rural health agencies, early and periodic screening, diagnosis, and treatment (EPSDT) units, and also audits boarding homes. Name changed to Human Services - Audit 10/31/01	Paper	1/19/2007	Years 3	Years 7	Destroy	Current
<hr/>						
<b>Schedule #:</b> 485 11b:Human Services- Audit of Hospitals						
Audits Maine Medicaid Program in hospitals, early and periodic screening, diagnosis, and treatment (EPSDT) units. Name changed to Human Services - Audit 10/31/01	Paper	1/19/2007	Years 3	Years 12	Destroy	Current
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<b>Schedule #:</b> 485 13#:Management Reports						

# Department Series Report

## 10: Human Services

Description			Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Varied reports generated by the Human Services MMIS. Retain until updated.			Computer Printout	6/5/1986	Destroy When Updated	0	No Retention	0	Destroy	Current
Varied reports generated by the Human Services MMIS. Retain until updated.			Computer Output Microfilm	6/5/1986	Destroy When Updated	0	No Retention	0	Destroy	Current
Schedule #:	494	29#:Human Services Training File								
Contract for services; registration forms; application forms; evaluations by instructor and by registrants; instructional material summaries such as learning objectives, course outlines, etc., may contain correspondence. Material is for all courses taught by the Unit and contracted trainers, i.e., Child Abuse, Report Writing, case file completions, etc.			Paper	6/20/1986	Years	2	No Retention	0	Destroy	Current
Contains course title, training region, registrants names. Retain until updated.			Computer Printout	6/20/1986	Destroy When Updated	0	No Retention	0	Destroy	Current
Schedule #:	494	30#:Human Services Trainer File								
Contains name, address, trainer I.D., and telephone number. Retain until inactive.			Paper	6/20/1986	Retain Until Inactive	0	No Retention	0	Destroy	Current
Contains name, address, trainer I.D., and telephone number. Retain until updated.			Computer Printout	6/20/1986	Destroy When Updated	0	No Retention	0	Destroy	Current
Schedule #:	494	31#:State Training Advisory Council								
Minutes of meetings, agendas, correspondence and related material. Council is made up of Human Services employees to evaluate training and education needs of its employees.			Paper	6/20/1986	Years	3	No Retention	0	Destroy	Current
Schedule #:	494	32#:SETU Correspondence								

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Correspondence to and from various agencies relating to training or education of personnel. Includes brochures and other related materials.	Paper	6/20/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 494 33#:Educational Leave File						
Contains applications for educational leave, letters of approval or denial, amount approved and other related documents. Retain until completed and audited.	Paper	6/20/1986	Contingent Upon Event - See Description	0 No Retention 0	Destroy	Current
<b>Schedule #:</b> 603 34#:Administration Correspondence						
General administrative correspondence with departmental bureaus and divisions, other departments and federal government.	Paper	1/16/1987	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 603 35#:Grants						
The Departmental copy of grants made by the Department to outside community agencies.	Paper	1/16/1987	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 603 36#:Contracts						
The Departmental copy of all contracts for special services.	Paper	1/16/1987	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 603 37#:Audit Reports						
Reports of audits performed on the Dept. of Human Services.	Paper	1/16/1987	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 603 38#:Leases						
Departmental copy of all leases for space occupied by the Dept. statewide. Correspondence related to leased space. Monthly rent payments. Retention period begins at termination.	Paper	1/16/1987	Years 6	No Retention 0	Destroy	Current



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 608      40#:Workers Compensation Records  Workers compensation agreements, payment authorizations, doctors' reports. Retention period begins when case becomes inactive.	Paper	3/13/1987	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 608      41#:Grievance and Arbitration Records  Grievance and outside complaints, investigations and arbitration cases. Grievance records (no arbitration), retain 5 years; arbitration records, retain 10 years.	Paper	3/13/1987	Years 10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 620      42#:DSER Collections  The records are kept in case of future court action. Records are used by anyone with a need to work with the case, including support staff, case agents, supervisors and regional managers, the Child Support Division of the Office of the Attorney General, and occasionally DSER upper management. Materials in the file may include payment and disbursement history.	Digital File	9/29/2014	Years 20	No Retention 0	Destroy	Current
<b>Schedule #:</b> 735      44#:IV-D Client Payroll Record  Weekly/monthly record of support payments sent to clients. Destroy after microfiched and verified.	Microfiche	8/28/1996	Years 100	No Retention 0	Destroy	Current
<b>Schedule #:</b> 735      44A:IV-D Client Payroll Record (prior to July 1991)  Weekly/monthly record of support payments sent to clients.	Paper	8/28/1996	Years 50	Years 50	Destroy	Current
<b>Schedule #:</b> 735      44B:IV-D Client Payroll Record (July 1991 and after).  Weekly/monthly record of support payments sent to clients. Destroy after microfiched and verified.	Paper	8/28/1996	Contingent Upon Event - See Description 0	No Retention 0	Destroy	Current
<b>Schedule #:</b> 744      45#:Monthly AFDC Payroll (MF)						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Monthly payroll of AFDC recipients received from Accounts and Control	Microfiche	4/20/1989	Years 50	No Retention	0	Destroy Current
<b>Schedule #:</b> 1009 46#:Maine Medicaid Information Systems (Microfiche Backup)						
Medicaid reimbursement system and management of programs, including: claims history; financial reports; remittance statements; purge inventory; prior authorization status; drug reference; Medicaid eligibility reports; return claims; surveillance & utilization review; Management and Reporting System. Keep paper in agency 6 months. Microfiche, verify and destroy.	Paper	12/2/1992	Retention of Less than 1 Year - See Description	0	No Retention	0 Destroy Current
Medicaid reimbursement system and management of programs - budget services, etc.	MF(a)	12/2/1992	Years 5	Years	0	Destroy Current
Medicaid reimbursement system and management of programs - budget services, etc.	MF(b)	12/2/1992	Years 0	Years	5	Destroy Current
<b>Schedule #:</b> 1009 46A:Maine Medicaid Information Systems - Microfiche						
Medicaid reimbursement system and management of programs, including: claims history; financial reports; remittance statements; purge inventory; prior authorization status; drug reference; Medicaid eligibility reports; return claims; surveillance & utilization review; Management and Reporting System.	Microfiche	12/2/1992	Years 5	No Retention	0	Destroy Current
<b>Schedule #:</b> 1009 46B:Maine Medicaid Information Systems - Backup Microfiche						
Medicaid reimbursement system and management of programs, including: claims history; financial reports; remittance statements; purge inventory; prior authorization status; drug reference; Medicaid eligibility reports; return claims; surveillance & utilization review; Management and Reporting System.	Microfiche	12/2/1992	Years 0	Years	5	Destroy Current
<b>Schedule #:</b> 1175 47#:Complaint Case Files (Human Services)						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Someone who receives services from, is employed by, or deals with Human Services and who, in some way, thinks their rights have been infringed upon, can complain to the Civil Rights Office. A typical file contains: allegation; investigatory document; conclusionary document and related correspondence. Keep in agency until closed plus 5 years.	Paper	9/25/1995 Years	5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 1175 48#:Request for Accommodation						
An employer is responsible for mental and physical accommodation of its employees who may need such accommodation. Can be chair types, lighting, pounds to be carried, etc. Keep in agency until accommodated plus 10 years.	Paper	9/25/1995 Years	10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 1175 49#:Medical Records of DHS Employees						
If an employee is absent for more than five days a medical statement may be asked for. If medical leave is asked for medical records must be kept. And when employee comes back to work they must have medical approval.	Paper	9/25/1995 Years	3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 1311 50#:Child Welfare Income Records						
Verified income received, and expenditures per child, used by Human Services Auditors. Monthly expenditures and receipts. Keep in agency until filmed and verified.	Paper	3/4/1999	Variable - See Description	0 Years 0	Destroy	Current
The verified income received and expenditures per child used by Human Services Auditors. Monthly expenditures and receipts.	Roll Microfilm	3/4/1999	Variable - See Description	18 Years 0	Destroy	Current
The verified income received and expenditures per child used by Human Services Auditors. Monthly expenditures and receipts. (Backup microfilm)	Roll Microfilm	3/4/1999	Variable - See Description	0 Years 18	Destroy	Current
<b>Schedule #:</b> 1411 51:Hospital Base Year Files						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
This is critical audit information from the MMIS claims system which can never be duplicated. It is source documentation of the hospital Medicaid reimbursement system. The reimbursement system continued until 2011. Any legal appeal by a hospital for settlements during this period may require us to rely on the documentation in these boxes.  Program closed in 2011 but records will be retained until all outstanding audits have been met or any legal issues have been resolved.  Paper records will be retained by the agency until scanned and verified for quality assurance.	Digital File	6/19/2018	Contingent Upon Event - See Description	0 No Retention	0 Destroy	Current

### 144Y:Health & Environmental Testing Laboratory

**Schedule #:** 507 62A:Director's File - Correspondence

Correspondence to and from the Director of the Public Health Laboratory pertaining to requests for information concerning what type of services the Laboratory performs, and laboratory results.	Paper	10/22/1986	Years	15	No Retention	0	Destroy	Current
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**Schedule #:** 507 62B:Director's File - Metabolic Disease Screening

Pertains to newborn screening and lead screening program, with related correspondence. The Laboratory provides laboratory support to the Bureau of Health program, Child Health, provides screening and diagnosis of diseases; Erythroporphyrin and Blood Lead analysis.	Paper	10/22/1986	Years	25	No Retention	0	Destroy	Current
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**Schedule #:** 507 63#:Standard File for Private Agencies

Test results, inspection forms, certificates, correspondence and related documents. Destroy after microfilming.	Paper	10/22/1986	Years	2	No Retention	0	Destroy	Current
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Test results, inspection forms, certificates, correspondence and related documents.	Roll Microfilm	10/22/1986	Years	10	No Retention	0	Destroy	Current
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**Schedule #:** 507 65#:General Office Reference File - Public Health Laboratory

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Contains copies of all correspondence from the lab, Maine Lab committee material, LAB GAB (newsletter), records summaries, and other general material related to the accomplishment of the Laboratory's responsibilities.	Paper	10/22/1986	Years 2	No Retention	0	Destroy Current
<b>Schedule #:</b> 507 66#:Water Analysis Requests						
Includes receipt and application for water testing.	Paper	10/22/1986	Years 3	No Retention	0	Destroy Current
<b>Schedule #:</b> 507 67#:Chromatographs						
Graph chart indicating organic analysis.	Paper	10/22/1986	Years 6	No Retention	0	Destroy Current
<b>Schedule #:</b> 821 69#:Blood Lead Reports						
Laboratory results of blood testing for lead poisoning in children. Retain microfilm 4 years after it is created.	Roll Microfilm	3/23/1990	Years 4	No Retention	0	Destroy Current
Laboratory results of blood testing for lead poisoning in children. Retain paper 2 years before creating microfilm.	Paper	3/23/1990	Years 2	No Retention	0	Destroy Current
<b>Schedule #:</b> 821 71#:Microbiological Reports						
Laboratory results of tests done to determine if illness is caused by microbiological agents. Retain microfilm 2 years after it is created.	Roll Microfilm	3/23/1990	Years 2	No Retention	0	Destroy Current
Laboratory results of tests done to determine if illness is caused by microbiological agents. Retain paper 1 year; then microfilm, verify, and destroy paper.	Paper	3/23/1990	Years 1	No Retention	0	Destroy Current
<b>Schedule #:</b> 1439 72:Forensic Case Files						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Case files containing lab report, analytical data and chain-of-custody for the prosecution of drug and alcohol related crimes. These files are used by State and County Court Officers in the prosecution of drug and alcohol cases. A typical file contains: the final report; any preliminary, supplementary or corrected reports; worksheets; evidence receipt; chain of evidence; all instruments printouts (both control and questioned samples), photographs, photocopies, etc.; copies of reference, standard or library spectra used for identification; technical and administrative review.	Paper	8/8/2002 Years	2	Years 18	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1605 73#:Inorganics Data from Testing for Inorganic Substances						
Collected data from instruments that are used to analyze water and environmental samples for inorganic chemicals, bacteria and metals. These samples are tested for many different reasons, including: drinking water safety (chemical and bacteriological), compliance with the Maine Health Engineering Drinking Water Program, and inorganic environmental contamination. Occasionally data may need to be retrieved to re-calculate analytical results. Also, this data maybe demanded by the courts for criminal and civil litigation. The HETL is required to retain these records by the Environmental Protection Agency (EPA) and the National Environmental Laboratory Accreditation Program (NELAP). These records must be produced when requested by these agencies. Instrument data (charts, spectrum analytical worksheets, etc.) may be found in a typical file.	Paper	2/11/2004 Years	2	Years 10	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1605 74#:Instrument Data from Testing for Organic Substances						
Data collected from instruments used to analyze water and environmental samples for organic compounds. These samples are tested for many different reasons, some of which are the following: detection and monitoring of organic chemical pollutants (gasoline, fuel oil, PCBs, pesticides, volatiles, etc.), compliance with the Maine Health Engineering Drinking Water Program, and detection of other organic environmental contamination. Occasionally data may need be retrieved to re-calculate analytical results. Also, this data may be demanded by the courts for criminal and civil litigation. The HETL is required to retain these records by the Environmental Protection Agency (EPA) and the National Environmental Laboratory Accreditation Program (NELAP). These records must be produced when requested by these agencies. Instrument data (charts, spectrum chromatograms, analytical work sheets, etc.) may be found in a typical file.	Paper	2/11/2004 Years	2	Years 10	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1605 75#:Radiochemistry Test Results - Health and Environmental Testing Laboratory						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These records include data from instruments used to analyze water and environmental samples for the presence of radiological isotopes. The samples are tested for many reasons, including Maine Yankee decommissioning monitoring; compliance samples for the Maine Health Engineering Drinking Water Program; detection of other radiological environmental contamination. Data may be retrieved to recalculate analytical results, or to satisfy court demand for civil or criminal litigation. The HETL is required to retain these records by the Environmental Protection Agency (EPA) and the National Environmental Laboratory Accreditation Program (NELAP). Charts, spectrum, spreadsheet calculations, analytical worksheets, etc. may be found in a typical file.	Paper	2/11/2004	Years 2	Years 10	Destroy	Current
<b>144N:Health Planning &amp; Development</b>						
<b>Schedule #:</b> 663 150#:Cooperative Agreement for the Development of Primary Care Services						
Under this Cooperative Agreement, the Dept. produces an annual grant application, periodic progress reports, daily correspondence letters, planning and research reports, and a variety of primary health care and manpower statistics. Retention period begins at conclusion of federal funding.	Paper	2/1/1988	Years 3	No Retention	0	Destroy Current
<b>Schedule #:</b> 663 154#:Administrative File - Project Review for OHP&D						
Certificate of Need (CON) Advisory Committee membership correspondence/meeting schedules/activities.	Paper	2/1/1988	Years 2	Years 6	Destroy	Current
<b>144P:Health Promotion and Education</b>						
<b>Schedule #:</b> 804 1#:PATCH (Planned Approach to Community Health)						
Community organizing model for health priorities. Files include: workshops program development; mortality data; work plans; evaluations; quarterly reports and related correspondence. Keep in agency until program ends.	Paper	11/28/1989	Contingent Upon Event - See Description	0	Years 2	Destroy Current
<b>Schedule #:</b> 804 2#:CCDPP (Community Chronic Disease Prevention Program)						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Development; implementation and evaluation. Quarterly reports; program documentation; evaluation form; work plans; progress reports; community survey data and related correspondence. Hold in agency until program ends.	Paper	11/28/1989	Contingent Upon Event - See Description	0	Years 2	Destroy Current
<b>144V:Infectious Disease</b>						
<b>Schedule #:</b> 749 161#:AIDS/HIV Surveillance Files						
These files contain highly confidential materials relating to CDC Case Definition AIDS Reports, including copies of case reporting forms, death certificate data, correspondence, investigation records and non-aggregated HIV. Review after 5 years.	Paper	5/15/1989	Years	15	No Retention 0	Destroy Current
<b>Schedule #:</b> 866 162#:Knowledge, Attitude & Behavior Surveys						
These surveys sample the knowledge and attitude of the general public of AIDS to better target educational activity. Retain until updated.	Floppy Disk	10/25/1990	Years	10	No Retention 0	Destroy Current
These surveys sample the knowledge and attitude of the general public of AIDS to better target educational activity.	Paper	10/25/1990	Years	5	No Retention 0	Archives Current
<b>Schedule #:</b> 893 163#:Chronic Disease Program						
Contains chronic disease scientific and epidemiologic research reports and papers. Confidential files of hard copy, follow-up investigations, data quality research projects and administrative files relating to chronic disease.	Paper	12/17/1990	Years	10	No Retention 0	Archives Current
<b>Schedule #:</b> 1035 164#:Occupational Health Care Files						
Occupational case files, individual case files are logged in and filed alphabetically by year. Files include: medical records, disease reports, medical laboratory reports, case abstracts and related correspondence. Maine Agricultural Safety & Health Program series 165 has been assumed to Occupational Health Care Files. 7/11/01.	Paper	4/14/1993	Years	20	Years 100	Archives Current
<b>Schedule #:</b> 1140 167#:Refugee Health Assessment Client Files						



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
This Division provides health assessment for newly arrived official refugees and Amerasian immigrants. Files include: Reception and Placement POrogram Assurance Form, Medical Examination, Refugee Program Report. This health information is needed for program surveillance activities relating to AIDS, sexually transmitted diseases and tuberculosis. The Assurance Form tells DHS what sponsor is responsible for each refugee.	Paper	1/16/1995	Years 5	Years 2	Destroy	Current	
<b>Schedule #:</b> 1184 168#:Report on Maine's Health Objectives by the Year 2000							
Reports containing analysis and presentation or data from various public health surveillance systems. Reports are called "Healthy Maine 2000, A Health Agenda for the Decade". Issues include: Maternal and Child Health; Chronic Disease Prevention and Control; HIV/AIDS; Teen and Young Adult Health; Oral Health; Tobacco Prevention; Substance Abuse; Mental Health; etc.	Paper	12/8/1995	Years 1	No Retention 0	Archives	Current	
<b>Schedule #:</b> 1277 3#:Commissioner's Correspondence							
Correspondence from the Commisioner of Administrative and Financial Services	Paper	6/12/1998	Years 10	Years 0	Archives	Current	
<b>144ZZ:Interdepartmental Committee</b>							
<b>Schedule #:</b> 642 10#:Minutes of IDC Committee and Sub-committee Meetings							
Describes activities and discussions of all subcommittee and committee meetings. Retain in agency until updated.	Digital File	10/6/1987	Destroy When Updated	0	No Retention 0	Destroy	Current
Describes activities and discussions of all subcommittee and committee meetings.	Paper	10/6/1987	Years 1	Years 5	Archives	Current	
<b>Schedule #:</b> 642 11#:Issue papers and reports from Subcommittee and IDC Committee							
Issue papers and reports on specific topics are generated by the various subcommittees. Topic areas vary substantially from administrative issues (insurance & training) to service development.	Paper	10/6/1987	Years 1	Years 5	Archives	Current	

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Issue papers and reports on specific topics are generated by the various subcommittees. Topic areas vary substantially from administrative issues (insurance & training) to service development. Retain until updated.	Digital File	10/6/1987	Destroy When Updated	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 642 12#:Correspondence - IDC Committee & Subcommittee						
Includes correspondence relating to specific activities of committees and subcommittees. Includes requests for information.	Paper	10/6/1987	Years	1	Years 3	Destroy Current
<b>Schedule #:</b> 642 13#:Raw Data Collected from Surveys Sponsored by IDC						
Includes completed survey instrument for serves needs assessment, agency surveys, etc.Includes requests for information.	Paper	10/6/1987	Years	1	Years 3	Archives Current
<b>Schedule #:</b> 707 18#:Rate Setting - Documentation IDC						
List of budgeted costs, analysis sheets and related correspondence.	Paper	11/7/1988	Years	3	No Retention	0 Destroy Current

## 144D:MaineCare Services

<b>Schedule #:</b> 120 1#:Maine Medical Assistance Program Fiscal Records Paper Claims						
Medicaid Assistance Fiscal Records (Medicaid Health Services Bills). Vendor Billing to State for payment of Health Services provided to Medicaid Recipients: 1. Hospital inpatient and outpatient - filed by Vendor Number; 2. Home Health Services - Filed by Vendor Number; 3. Professional Services - Filed alphabetically by name of professional; 4. Extended Care Billing - Filed by Vendor Number; 5. Child Health Billing - Filed by Vendor Number; 6. Medical Eye Care Billing - Filed by Vendor Number; 7. Hand Paed Drug (Prescription Billing - Non Computer) - Ended Aug. 1, 1974 - Filed by Vendor Name, alphabetically. Note: Retain in agency for current year then destroy 30 days after adjudication & microfilming.	Paper	4/28/1985	Destroy After Conversion to Another Medium	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 120 4#:Maine Medical Assistance Program Fiscal Records Paper Claims						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Medicaid Assistance Fiscal Records (Medicaid Health Services Bills). Vendor Billing to State for payment of Health Services provided to Medicaid Recipients: 1. Hospital inpatient and outpatient - filed by Vendor Number; 2. Home Health Services - Filed by Vendor Number; 3. Professional Services - Filed alphabetically by name of professional; 4. Extended Care Billing - Filed by Vendor Number; 5. Child Health Billing - Filed by Vendor Number; 6. Medical Eye Care Billing - Filed by Vendor Number; 7. Hand Paed Drug (Prescription Billing - Non Computer) - Ended Aug. 1, 1974 - Filed by Vendor Name, alphabetically.	Roll Microfilm	4/28/1985 Years	3	Years 10	Destroy	Current
<b>Schedule #:</b> 304 2#:Recipient Third Party Resource File						
File for storage and retrieval of primary resource information for recoupment of Medicaid funds. Contains health insurance coverage records, all correspondence, copies of Medicaid claims and claims payment history, and referral and recoupment records.	Roll Microfilm	1/26/1999 Years	6	Years 0	Destroy	Current
File for storage and retrieval of primary resource information for recoupment of Medicaid funds. Contains health insurance coverage records, all correspondence, copies of Medicaid claims and claims payment history, and referral and recoupment records. Destroy paper after filmed and verified.	Paper	1/26/1999 Years	0	Years 0	Destroy	Current
<b>Schedule #:</b> 310 3#:Licensure & Certification Health Care Facilities						
C & T; Title 18 Certification Letter; Provider Agreement; copy of license; application for licensure; various inspection reports; various kinds of correspondence.	Paper	5/28/1981 Years	6	Years 14	Destroy	Current
<b>Schedule #:</b> 376 5#:Correspondence to and from the Director of Bur. of Medical Services						
Medical Services Bureau Director is responsible for Office of Health Planning and Development, Office of Medical Services, and Medical Claims Review and Surveillance and Utilization Review offices.	Paper	9/23/1985 Years	10	No Retention 0	Destroy	Current
<b>Schedule #:</b> 469 11#:Management Reports						
Varied reports from MMIS. Retain until updated.	Computer Printout	6/2/1986 Destroy When Updated	0	No Retention 0	Destroy	Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 469 12#:Prior Authorization						
Includes Long Term Care classifications and authorizations for medical care services. Includes classification forms, prior authorization forms, correspondence, and related documents.	Roll Microfilm	6/2/1986	Years 7	No Retention 0	Destroy	Current
Includes Long Term Care classifications and authorizations for medical care services. Includes classification forms, prior authorization forms, correspondence, and related documents. Destroy after filming.	Microfiche	12/2/1988	Years 7	No Retention 0	Destroy	Current
<b>Schedule #:</b> 469 13#:Provider File						
Agreements and related correspondence. Destroy after filming.	Paper	6/2/1986	Years 3	No Retention 0	Destroy	Current
Agreements and related correspondence.	Roll Microfilm	6/2/1986	Years 7	No Retention 0	Destroy	Current
<b>Schedule #:</b> 492 10#:Administrative File - Surveillance & Utilization Review						
Correspondence to and from other units of Human Services and other agencies, i.e., Attorney General. Contains information on fraud cases.	Paper	6/11/1986	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 492 7#:Management Reports - Surveillance & Utilization Review						
Maine Medicaid Provider Category of Services by physicians, chiropractors, hospitals, and other health care persons and facilities; explanation of medical benefits (lists services received by patients); explanation of medical benefits (E.O.M.B.).	Computer Output Microfilm	6/11/1986	Years 10	No Retention 0	Destroy	Current
Various computer generated reports to assist the agency in the efficient and effective performance of their duties. Retain until updated.	Computer Printout	6/11/1986	Destroy When Updated	No Retention 0	Destroy	Current
<b>Schedule #:</b> 492 8#:Recipient Surveillance File						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Tracking sheets generated in office. Specific recipient profile reports requested by agency and produced by CCS. Retention counted from date inactive.	Paper	6/11/1986	Years 2	No Retention 0	Destroy	Current
Tracking sheets generated in office. Specific recipient profile reports requested by agency and produced by CCS. Retention counted from date inactive.	Computer Printout	6/11/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 492 9#:Provider Surveillance File						
Provider Tracking form and computer printout Provider Profiles for Maine Medicaid Program. Includes related correspondence.	Paper	6/11/1986	Years 10	No Retention 0	Destroy	Current
Provider Tracking form and computer printout Provider Profiles for Maine Medicaid Program.	Computer Printout	6/11/1986	Years 2	No Retention 0	Destroy	Current
<b>Schedule #:</b> 495 15#:Project Files						
Project documents, correspondence, supporting data for fee schedules.	Paper	6/23/1986	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 495 16#:Cost Containment Management Reports						
Various computer generated reports. Abstracted form claims paid through MMIS.	Computer Printout	6/23/1986	Years 3	No Retention 0	Destroy	Current
Various computer generated reports. Abstracted form claims paid through MMIS.	Microfiche	6/23/1986	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 499 26#:Division Director's File - Licensing & Cert., Medical Services						
Correspondence relating to the licensing and certification of nursing homes and hospitals; instructional materials for supervisory skills; reports/memos from other bureaus, divisions, etc.; Federal guidance documents, program brochures, and other related materials.	Paper	1/13/1993	Years 2	Years 8	Destroy	Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
<b>Schedule #:</b> 499 28#:Employee Itineraries - Licensing & Cert., Medical Services								
Used to inform agency where employee will be working during the following week. Not used for audit purposes. Destroy after one week.	Paper	7/3/1986	Retention of Less than 1 Year - See Description	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 499 29#:Staffing File - Licensing & Cert., Medical Services								
Weekly time schedules for nursing homes and quarterly reports of ratio of personnel to census of patients.	Paper	7/3/1986	Years	3	Years	3	Destroy	Current
<b>Schedule #:</b> 499 30#:Health Care Facilities Licensing and Certification File								
Includes license, correspondence, application, State Fire Marshall's report, exit interviews, licensure surveys, complaints and related documents.	Paper	2/19/1992	Years	2	Years	17	Destroy	Current
<b>Schedule #:</b> 500 17#:Bureau of Medical Services Rules & Regulations								
Contains current proposed new and active obsolete rules, regulations, work papers and related correspondence and documents. Retain until inactive.	Paper	6/11/1986	Retain Until Inactive	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 500 18#:Medical Advisory Committee								
Includes minutes, correspondence, etc.	Paper	6/11/1986	Years	1	No Retention	0	Archives	Current
<b>Schedule #:</b> 500 19#:Federal Correspondence								
Correspondence and documents, i.e. assessments, reports, surveys relating to general issues.	Paper	6/11/1986	Years	2	No Retention	0	Destroy	Current
<b>Schedule #:</b> 500 21#:Bureau Correspondence - Medical Services (Administration)								

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Correspondence, memos, etc., written/received from Bureau Directors, Assistant Directors, etc.	Paper	6/11/1986	Years 1	No Retention	0	Destroy Current
<b>Schedule #:</b> 500 22#:Federal/State Plan - Medicaid						
Documents and correspondence relating to State Plan for Medicaid. Includes federal material. Approved for microfilming, but destruction of paper documents not approved.	Paper	6/11/1986	Years 5	No Retention	0	Destroy Current
<b>Schedule #:</b> 535 24#:Director's Administrative File						
The Director's files contain documentation to back up licensing inspections for adult foster care and boarding home care, including a file on terminations of residential care and correspondence to and from other units of the Department, and with homes in relation to their licenses and reimbursements for their services. The material must be kept long enough to cover possible legal action, and to track past history in case a home reopens after closing.	Paper	5/17/1995	Years 2	Years	8	Destroy Current
<b>Schedule #:</b> 646 31#:Robert Wood Johnson Foundation Managed Care Program						
Correspondence, surveys and supporting data. A comprehensive managed care health insurance demonstration program.	Paper	10/28/1987	Years 5	Years	5	Destroy Current
<b>Schedule #:</b> 914 32#:BMR Waiver Foster Home						
Waivered cases are exempted from rules in order to qualify for care. The Bureau of Consumer Services is responsible for determining medical eligibility of Medicaid clients needing long-term care services. Individual Program Plan; checklist; choice letter; BMS-85 etc. These are BMR clients needing foster home care or sheltered workshop placements. Retention begins after case is closed.	Paper	1/28/1991	Years 1	Years	4	Destroy Current
<b>Schedule #:</b> 914 33#:Acute Psychiatric Medicaid Clients						
The Bureau of Consumer Services is responsible for determining medical eligibility of Medicaid clients needing long-term care services. Files include: Application, IMU Mesage form etc. These clients require care at an acute psychiatric facility. Retention begins where case is closed.	Paper	1/28/1991	Years 0	Years	5	Destroy Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 914      34#:Nursing Home Medicaid Clients  The Bureau of Consumer Services is responsible for determining medical eligibility of Medicaid clients needing long-term care services. Files include: Application; IMU Message form; SWMA 122; Consumer Services Message From and related correspondence. These clients require nursing home care. Retention begins when case is closed.	Paper	1/28/1991	Years 1	Years 4	Destroy	Current
<b>Schedule #:</b> 921      36#:Multi-State Long-Term Care Case Mix Quality Assurance Demo. Project  A case-mix reimbursement system for nursing facilities in which facilities are paid based on the severity of their residents. Severity is determined through annual assessments with quarterly reports. Files contain reference and resource material, correspondence, surveyvys, assessment material and supporting data.	Paper	11/7/1990	Years 5	Years 2	Destroy	Current
<b>Schedule #:</b> 1005      153#:CNA (Certified Nursing Assistant) Registry Files  To comply with State and Federal Laws, these files contain: Criminal Record files; copies of CNA certificate; testing results (D.H.S.); testing results (Dept of Ed.); curriculum outlines. Retention period counted from non-renewal.	Paper	9/23/1992	Years 5	Years 50	Destroy	Current
<b>Schedule #:</b> 1027      37#:Cost Report - Rate Computations  This unit sets rates at which providers are reimbursed: reports described are used for this purpose. Files include: nursing home cost reports; federally qualified health care centers cost reports and rate data; private non-medical institutions cost reports and rate data; transportation rate data.	Paper	2/10/1993	Years 3	Years 3	Destroy	Current
<b>Schedule #:</b> 1054      39#:Medicaid Policy & Programs APA Files  These files contain all data submitted for consideration in revising Medicaid Policy. They also contain any comments made relating to Public Hearings. These records are the basis for proposals to rule changes. Keep in agency 1 year microfilm, verify and destroy.	Roll Microfilm	7/15/1993	Years 10	No Retention 0	Destroy	Current



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These files contain all data submitted for consideration in revising Medicaid Policy. They also contain any comments made relating to Public Hearings. These records are the basis for proposals to rule changes. Keep in agency 1 year microfilm, verify and destroy.	Paper	7/15/1993	Years 1	No Retention	0	Destroy Current
<hr/>						
<b>Schedule #:</b> 1061 40#:Provider Relations Unit- Regional Offices						
This is the information unit for providers of Medicaid. They answer questions dealing with billing, clarification of policy and basically how to work with the system. Files contain: copies of enrollment doc., records of phone inq., doc. around difficult claims, outside information on provider and related correspondence.	Paper	8/31/1993	Years 5	No Retention	0	Destroy Current
<hr/>						
<b>Schedule #:</b> 1063 150#:Eye Care Client Files						
To provide eye care services to low-income clients who have specific medical eye conditions. Files include: application, medical reports and related correspondence. Hold in agency until case closed. Bureau change from 10-144 F effective 7/95 per Linda Poulin.	Paper	9/13/1993	Contingent Upon Event - See Description	0	Years 2	Destroy Current
<hr/>						
<b>Schedule #:</b> 1128 41#:Nursing Home Inspection of Care						
Inspection of Care information pertaining to Intermediate Care Facilities and Skilled Care Facilities including BMS-85s, exit sheets, patient lists, and quarterly showings. This information was necessary in order to comply with Federal and State regulations. Effective in 1990, this information is no longer necessary. These will be no additions to this series. A BMS-85 is a client referral form. Hold files in Records Center and destroy after 1999.	Paper	10/27/1994	Years 0	Destroy When Updated	0	Destroy Current
<hr/>						
<b>Schedule #:</b> 1137 42#:Medical Evaluation Forms, Intermediate Care Facilities for MR (BMS85s)						
Medical evaluation forms (BMS-85s) completed bi-annually on patients residing in Intermediate Care Facilities for the Mentally Retarded. These forms are necessary in order to comply with Federal and State requirements. These forms are for both State and private facilities. Forms are used to record each patient's diagnosis, medications, treatments, etc.	Paper	10/27/1994	Years 4	Years	16	Destroy Current
<hr/>						
<b>Schedule #:</b> 1139 44#:Nursing Home Inspection of Care						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated		In Agency Retention		Rec Center Retention	Disposition	Status
Inspection of Care information pertaining to Intermediate Care Facilities and Skilled Care Facilities including BMS-85s, exit sheets, patient lists, and quarterly showings. This information was necessary in order to comply with Federal and State regulations. Effective in 1990, this information is no longer necessary. There will be no additions to this series.	Paper	5/7/1999	Years	0		Years 10	Destroy	Current
Schedule #: 1166 45#:Never On Program Files								
This agency classifies medical eligibility for Nursing Homes, Elderly Waivers (for home care), Private Duty Nursing, etc. Never on Program files are files which never materialize due to not meeting medical criteria, death, withdrawal, etc. Files include: Financial statement, medical assessment, and related correspondence.	Paper	6/20/1995	Years	1	No Retention	0	Destroy	Current
Schedule #: 1166 46#:Pre-Admission Screening MI/MR								
For Mental Illness/Mental Retardation. This agency must screen all clients seeking admission to a Nursing Home. Files include: Pre-Admission Screening application, related correspondence.	Paper	6/20/1995	Years	3	No Retention	0	Destroy	Current
Schedule #: 1283 154#:PNMI (Private Non-Medical Institution) Clients								
Mediacl evaluation forms (BMSLC/RC) completed annually on patients residing in Residential Care Facilities. These forms are necessary in order to comply with Federal and State requirements. This requirement was discontinued 7/1/96. Therefore, no further records will be incurred.	Paper	6/26/1998	Years	0	Years	5	Destroy	Current
Schedule #: 1292 155#:Boarding Home Residents								
Housing and Urban Development sends to the state what charges are for specific patients in a nursing home. Keep in agency until microfilmed and verified.	Paper	11/18/1998	Variable - See Description	1	Years	0	Destroy	Current
Housing and Urban Development sends to the state what charges are for specific patients in a nursing home.	Roll Microfilm	11/18/1998	Years	10	Years	0	Destroy	Current
Housing and Urban Development sends to the state what charges are for specific patients in a nursing home. (Back up microfilm)	Roll Microfilm	11/18/1998	Years	0	Years	10	Destroy	Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1312 156#:Supervisors' Meeting Notes  Minutes from monthly Supervisors Meetings. Personnel updates, Best Nursing practices, how to handle incident notifications, how legislation affects jobs, updates of public hearings affecting jobs. These supervisors may be supervisors of clerks, supervisors of health care workers, or any such supervisory meetings.	Paper	2/25/1999	Years 5	Years 0	Destroy	Current
<b>Schedule #:</b> 1312 157#:Monthly Completed Survey Schedules  Each month a completed survey schedule is sent to the Health Care Finance Administration in Baltimore, MD. This document lists all surveys conducted by the Division in a month. Location of facility, bed capacity, dates and types of surveys.	Hard Disk	2/25/1999	Years 2	Years 0	Destroy	Current
<b>Schedule #:</b> 1312 158#:Consumer Surveys  Questionnaires are sent randomly selected facilities after an annual survey by the Division of Licensing and Certification. These questionnaires inquire about the survey process, satisfaction with surveyor performance,etc. these surveys give hospitals, nursing care facilities, boarding homes and chance to give feedback to the Department on any problems these facilities may be having with Medical Services.	Paper	2/25/1999	Years 3	Years 0	Destroy	Current
<b>Schedule #:</b> 1312 159#:Clerical Log Sheet for Facility Activity  Each program clerk in the Division maintains a log to track receipt of fees, applications and other forms required for each facility's operation. Also recorded are dates survey packets are received from District Offices and dates the surveys are data entered into the HCFA/OSCAR/ODIE system.	Paper	2/25/1999	Years 2	Years 0	Destroy	Current
<b>Schedule #:</b> 1312 160#:Hospital Licensing Review Board Meeting Notes  Minutes of quarterly meetings of the Hospital Licensing Review Board. The information found in these minutes sets policy, regulation, etc. and cannot be found in any other place.	Paper	2/25/1999	Years 4	Years 0	Archives	Current

### 144B:Office for Family Independence

**Schedule #:** 115 9:TANF/SNAP/MaineCare Case Files

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Case files established for the purpose of maintaining applications, supporting documentation, and related correspondence.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 183 11#:Quality Control Reviews						
Quality Control Reviews on TANF, SNAP, and MaineCare which contain federally required forms/data fields and back-up material are stored electronically. QC records must be retained for a minimum of three years following fiscal closure to meet SNAP federal record retention requirements. For states in liability status, record retention begins on the date their liabilities are resolved.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 237 13#:General Assistance Municipal Payroll						
General Assistance (GA) Municipal Payroll is a payroll that is used to reimburse the various municipalities for the General Assistance they have expended to eligible recipients in their municipality. The information for this payroll is obtained through use of the form SWGA-004. Records are scanned and retained electronically for three years. Social Security regulations require that paper files of GA recipients who apply for Social Security benefits be retained for two years.	Mixed	3/15/2021	Variable - See Description	0	No Retention 0	Destroy Current
<b>Schedule #:</b> 237 14#:General Assistance Direct Vendor Payment						
These bills represent General Assistance payments to various vendors throughout the state for General Assistance payments authorized by the state in place of local GA agents in unorganized townships. Records are scanned and retained electronically for three years. Social Security regulations require that paper files of GA recipients who apply for Social Security benefits be retained for two years.	Mixed	3/15/2021	Variable - See Description	0	No Retention 0	Destroy Current
<b>Schedule #:</b> 375 24#:SSI-Related Medical Review Team (MRT) Case Files						
Case records contain confidential medical evidence from medical providers describing clients' conditions and diagnoses which are used in disability determinations for the SSI-Related Medicaid Program. Positive MRT decisions are retained in the agency until client reaches age 65 or MaineCare closes. Denied or otherwise closed cases are retained for 3 years.	Digital File	3/15/2021	Variable - See Description	0	No Retention 0	Destroy Current
<b>Schedule #:</b> 383 25#:Emergency Assistance (TANF) Program Case Records						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Emergency Assistance (EA) application; notice of Eligibility decisions; vendor invoices and receipts, home insurance policy, utility bills, eviction notices, lease/rental agreements and other EA related documents and correspondence.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 421 26#:ASPIRE Case Files						
Case files established for the purpose of maintaining documentation of a case narrative, program documents, and correspondence. Retain in agency while case is open and 3 years following case closure.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 442 28#:DSER Case Files						
The records are kept in case of future court action. Records are used by anyone with a need to work with the case, including support staff, case agents, supervisors and regional managers, the Child Support Division of the Office of the Attorney General, and occasionally DSER upper management. Materials in the file may include birth certificates, support orders, notices, proof of service, correspondence, Income Withholding Orders, etc.	Digital File	9/29/2014	Years 20	No Retention 0	Destroy	Current
<b>Schedule #:</b> 496 53#:Daily Issuance & Returns						
This includes reports on issuance of EBT cards and benefits and a log on returned EBT cards.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 496 54#:Management Reports						
OFI Management Reports are used for internal monitoring and management of statewide eligibility work. This includes reports mined from the statewide task management system, Siebel.	Digital File	3/15/2021	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 496 56#:TANF and SNAP Overpayment Claims						
Documentation related to claims against clients for recoupment. Records must be kept until a full debt on the household, regardless of program type, is paid.	Digital File	3/15/2021	Variable - See Description 0	No Retention 0	Destroy	Current
<b>Schedule #:</b> 554 64#:Fraud Investigation Referral Cases						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Contains TANF, SNAP and MaineCare records of recipient suspected of committing program fraud. These records may contain a fraud referral report, correspondence, instructions to fraud investigators, and related documents and are stored within OFT's electronic systems (ACES and FORTIS). Fraud cases referred to the Office of the Attorney General (OAG) for criminal proceeding are retained by the OAG.	Digital File	3/15/2021 Years	3	No Retention	0 Destroy	Current
<b>Schedule #:</b> 561 65#:OFI Director's Files						
Material relating to conferences, policy, personnel, TANF, SNAP, MaineCare eligibility, General Assistance, DSER, Fraud and related correspondence and documents.	Digital File	3/15/2021 Years	3	No Retention	0 Destroy	Current
<b>Schedule #:</b> 565 1#:Legislative Files						
Copies of legislative documents, correspondence, supportive information, and testimonies regarding legislative documents.	Digital File	3/15/2021 Years	4	No Retention	0 Destroy	Current
<b>Schedule #:</b> 565 3#:Office for Family Independence (OFI) Publicity Materials						
Departmental press releases, newsletters, speeches, news summaries and related correspondence. Mixed media includes digital and paper records.	Mixed	3/15/2021 Years	6	No Retention	0 Destroy	Current
<b>Schedule #:</b> 1124 68#:IEVS (Income and Eligibility Verification System)						
IEVS reports include data reports which come from a variety of sources. Reports and sources include: the BENDEX Income Discrepancy Report, Deceased Member Report and the Prisoner Verification Report from the Social Security Administration; the Unemployment Discrepancy Report and Quarterly Earnings Discrepancy Report from the Maine Department of Labor and the Buy-In Discrepancy Report from the Center for Medicare and Medicaid Services (CMS).	Digital File	3/15/2021 Years	3	No Retention	0 Destroy	Current

## 144G:Office of Aging & Disability Services

**Schedule #:** 1889 181:Legal Services-Grievance (OADS/Disability Services)

# Department Series Report

## 10: Human Services

Description	Media	Last Updated		In Agency Retention		Rec Center Retention		Disposition	Status
Grievance files and correspondence relating to various levels of Grievance. These include grievances by consumers against staff or other consumers of the Office of Aging & Disability Services. Denial of specific services or eligibility for services from the Office of Aging and Disability Services.	Paper	7/27/2016	Years	2		Years	21	Destroy	Current
<hr/>									
<b>Schedule #:</b> 1956	1#:OADS Policy and Compliance Publications and Manuals								
Reports, agency reviews, data, Quality of Life Surveys, and correspondence for Policy and Compliance in the Office of Aging & Disability Services.	Digital File	11/25/2019	Years	12		No Retention	0	Destroy	Current
<hr/>									
<b>Schedule #:</b> 1957	2#:Resource Files - Guardianship								
Contain policy material, meeting notes, conference agendas and notes, correspondence. The meeting notes refer to staff meetings within the Office of Aging & Disability Services to Discuss cases.	Paper	1/7/2015	Years	1		Years	9	Destroy	Current
<hr/>									
<b>Schedule #:</b> 1958	3#:Resource Materials								
Requests for information and brochures, interfiled with printed materials. Six months in agency, then destroy.	Paper	1/7/2015	Months	6		No Retention	0	Destroy	Current
<hr/>									
<b>Schedule #:</b> 1959	4A:Agency Correspondence Files								
Contain news releases, standards, publications, institutions, legislation, office service requests, Attorney General, outside agencies, and related correspondence and documents.	Mixed	1/7/2015	Years	5		No Retention	0	Destroy	Current
<hr/>									
<b>Schedule #:</b> 1959	4B:Administrative Correspondence and Funding Decisions								
General Administrative files containing memos, correspondence, records of grant applications, award decisions, and other relate documents used to conduct the day to day operation of the Office.	Mixed	1/7/2015	Years	5		No Retention	0	Destroy	Current
<hr/>									
<b>Schedule #:</b> 1960	5#:OADS Training Material								

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Description			Media	Last Updated		In Agency Retention	Rec Center Retention	Disposition	Status	
Includes registration forms, evaluations by instructor and registrants, instructional material summaries: (such as learning objectives and course outlines) correspondence, and other miscellaneous training forms. Material is for all courses taught by the Office.			Paper	5/27/2015	Years	5	No Retention	0	Destroy	Current
<hr/>										
Schedule #:	1961	6A:Crisis Services Files - Crisis Charting and Inventory								
All files not listed in Schedule 1961, Series 6B. However, once client is deceased or case is closed, follow Schedule 1961, Series 6B.			Paper	7/27/2016	Years	5	No Retention	0	Destroy	Current
<hr/>										
Schedule #:	1961	6B:Crisis Evaluations, Plans and Legal Documents								
Medical Documents: Medical Evaluations (Occupational Therapy, Physical Therapy, Psychological, Dental, Optometry, Hearing, etc.), Annual Physical, Blood Work, Labs, Appointment Visit Notes, ER Discharge, Insurance Cards. Plans: Crisis Plans, Support Plans, Behavior Plans, Crisis House Intake, Residential Movement Sheet, Referral Form, Crisis House Rules Contract. Legal: Guardianship Documents, Birth Certificate, Social Security Card, Restraining Orders, Protective Orders, Police Reports. Retention begins when the client is deceased or case is closed.			Paper	7/27/2016	Years	1	Years	20	Destroy	Current
<hr/>										
Schedule #:	1962	7A:Resource Coordinator Files - Historical								
Includes Transportation Contracts, Client Waiver Status, Correspondence regarding rates, Approvals to provide counseling services, Summary of Services, Application for funds, Special Circumstance Allowance, Agreement to Purchase Services, Payment Audits, Waiver Checklists, Performance Indicator and Outcome Reporting Forms, and Open Payment Billing Form.			Paper	6/4/2015	Years	7	No Retention	0	Destroy	Current
<hr/>										
Schedule #:	1962	7B:Resource Coordinator Files - Plan Classification/Reclassification								
Includes the most current Person Centered Plan Face Sheet and corresponding Summary of Authorized Service (SAS).			Paper	6/4/2015	Years	1	No Retention	0	Destroy	Current
<hr/>										
Schedule #:	1962	7C:Resource Coordinator Files - Service Proposals								



# Department Series Report

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status	
Includes Service Proposals with any related documentation or correspondence along with the corresponding Summary of Authorized Services (SAS).	Paper	6/4/2015	Years 3	No Retention	0	Destroy	Current
<hr/>							
Schedule #: 1963	8#:Supporting Individual Success Initiative and Supports Intensity Scale (SIS) Assessment						
Includes all Forms outlined in SIS Policy & Procedure Manual; Documentation submitted to the Supplemental Verification Team (SVT), as well as any associated correspondence and applicable notes from SVT meetings; and Documentation submitted to the Extraordinary Review Committee (ERC) regarding both Requests for Review Based on Major Life Changes and Requests for Review Based on Extraordinary Support Needs, as well as any associated correspondence and applicable notes from ERC meetings.	Paper	5/9/2017	Years 1	Years	21	Destroy	Current
<p>The SIS is a nationally recognized, valid and reliable assessment tool developed by the American Association on Intellectual and Developmental Disabilities. The SIS focuses on a person's daily support needs and is strengths-based.</p>							
<hr/>							
Schedule #: 1964	9A:Case Files - Kept Until Case Closed or Deceased						
DNR (Do Not Resuscitate), DNH (Do Not Hospitalize), DNI (Do Not Intubate), Advance Directives; Bills of Sale, Mortgage, Rent & Lease Agreements; Auto, Home Owners, & Life Insurance Correspondence; Restraining, Protective and Court Orders; Divorce Settlements, Birth, Death and Marriage Certificates; POA (Power of Attorney), DPOA (Durable Power of Attorney), and Wills. Correspondence: Eligibility determination letters issued by the Office of Aging & Disability Services, Waiver award letter, intake related documents. Professional Assessments: All reports, evaluations, and record material, such as medical documents, psychological reports, occupational therapy reports, physical therapy reports, speech and language reports, behavioral consultations, developmental evaluations, psychosocial evaluations, audiologic examinations, oral needs assessments, and immunization records. Referrals: cases opened for study (investigation or guardianship/ conservatorship study), as well as associated correspondence and documentation. Retention begins when the client is deceased or case is closed.	Mixed	2/11/2019	Years 1	Years	20	Destroy	Current
<p>Mixed media includes paper, digital records and physical media.</p> <p>Paper records are kept in the agency for one year and then sent to the Records Center. They will be kept until scanned and verified by Records Management then destroyed. Full Records Center retention time of 20 years will be applied to digital records stored in OnBase at the State Records Center.</p>							

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1964 9B:Case Files - Destroyed After 6 Years  All documents not listed in Schedule 1964 Series 9A, 9D, 9E, 9F or 9G. This includes Releases of Information. Retention begins when the document was created or when it is no longer in effect, whichever is later. However, once client is deceased or case is closed, follow Schedule 1964, Series 9A.	Mixed	5/17/2017 Years	6	No Retention 0	Destroy	Current
<b>Schedule #:</b> 1964 9D:Case Files - Eligibility  Eligibility determination letters issued by the Office of Aging & Disability Services and assessments related to eligibility determination. This includes letters issued for both ineligible and eligible applicants. Retention begins once eligibility determination has been made. If there are subsequent applications, retention will begin once the most recent redetermination has been made.	Paper	12/28/2016 Years	2	Years 80	Destroy	Current
<b>Schedule #:</b> 1964 9E:Case Files - Guardianship/Conservatorship/Representative Payee  Referral, intake, application, face sheet, petitions to court, court studies, case summary, correspondence, and appointment of DHHS as guardian, permission for service, annual report, medical authorizations, and financial data. Retention begins at death or when guardianship, conservatorship, or rep payee status is terminated.	Paper	5/17/2017 Years	1	Years 9	Destroy	Current
<b>Schedule #:</b> 1964 9F:Case Files - Pineland  All files generated by the formerly operational Pineland Center (formerly Maine School for the Feeble-Minded, Pownal State School, and Pineland Hospital and Training Center). Retention begins when the client is deceased or case is closed.	Paper	6/4/2015 Years	1	Years 20	Destroy	Current
<b>Schedule #:</b> 1964 9G:Case Files - Substantiated Adult Protective Services Investigations  All adult protective services investigations that resulted in a substantiation of abuse, neglect, or exploitation. Retention begins when case is closed. If client is deceased prior to case closure or before in agency retention has been met follow retention 1964 9A.	Paper	5/17/2017 Years	5	Years 76	Destroy	Current
<b>Schedule #:</b> 1964 9H:Case Files - Unsubstantiated Adult Protective Services Investigations						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
All adult protective services investigations that resulted in an unsubstantiation of abuse, neglect, or exploitation. Retention begins when case is closed. If client is deceased prior to case closure follow retention schedule 1964, series 9A.	Paper	8/29/2016 Years	5	No Retention	0 Destroy	Current
<b>Schedule #:</b> 1965 10#:OADS Director's Files						
Files of the Director of the Office of Aging & Disability Services- materials relating to the day-to-day operations of the Office, including records of its organization, functions, policies, procedures, decisions, essential transactions, consumer-related initiatives, and correspondence related thereto.	Mixed	6/4/2015 Years	2	Years	6 Archives	Current
<b>Schedule #:</b> 2025 11:Contracts						
Agreements, documents, Request for Proposals, rental subsidies and other materials relating to programs conducted by OADS associated agencies.	Paper	5/17/2017 Years	1	Years	7 Destroy	Current
<b>Schedule #:</b> 2026 12:Long Term Care Case Review and Appeals						
Case Review: Documentation for client record review, required by the Health Care Finance Administration. These are appeal cases that have been downgraded from another level of care. Appeals Records: Client records of appeals to Medical Eligibility denials to long term care in accordance with Public Law Chapter 170 of Maine Medical Assistance Manual. Files include: Copy of denial letter, appeal request, fair hearing report, recommended decisions, final decisions, and correspondence. These are appeals of OADS decisions concerning specific clients. Retention begins when case is closed.	Mixed	7/27/2016 Years	1	Years	7 Destroy	Current
<b>Schedule #:</b> 2026 13:Long Term Services and Support Community Programs						

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## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Records generated by such assessments and evaluations to determine community programs that may be available to a consumer before a nursing care facility placement. Documents include: complaint logs, reportable event logs, death and mortality logs/reviews, site reviews of providers while in community, days awaiting placement documentation, hospice documentation, daily batch sheets (program/movement and payment from Goold assessments), transmittals, Adult family care Home documentation, Long Term Care Message forms (program/movement and payment - Nursing facility and Private Non-Medical Institution portals), Homeward Bound documentation (consumer files).	Paper	7/27/2016 Years	3	No Retention 0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 2027 14:Housing						
Boarding Homes and Foster Homes, contains license, applications, correspondence, State Fire Marshal's reports, exit interviews, licensure surveys, investigation findings, complains, incident reports and related documents. Retention begins when home is inactive.	Paper	7/27/2016 Years	2	Years 18	Destroy	Current
<hr/>						
<b>Schedule #:</b> 2028 15:Community Living and Long Term Services and Supports Management Reports						
Reports relating to the following programs: Home Based Care, Area Agencies on Aging, Senior Community Service Employment Program, Senior Health Insurance Program, Senior Medicare Patrol, Medicare Improvements for Patients and Providers Act, National Aging Program Information System and Semi-Annual Reports. Retention is based on date of document.	Paper	7/27/2016 Years	5	No Retention 0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 2028 16:Community Living and Long Term Services and Supports Management Special Projects						
Projects funds by special, designated funds, such as: Alzheimer's, Home Equity Conversion, Area Health education Center, Legal Service Training Project, Savvy Caregiver, Money Follows the Person, Legal Services for the Elderly, and Maine Dementia Capable Services System. Retention is based on date of document.	Paper	7/27/2016 Years	5	No Retention 0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 2029 17:Area Agencies on Aging Reports						

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## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Audit reports completed by a certified auditor of the contracted area agencies on aging to provide services to older adults. Audit reports are completed yearly for compliance with federal rules and policies. Other Reports: Quarterly and/or biannual reports as indicated by the State Plan.	Paper	7/27/2016	Years 5	No Retention	0	Destroy Current
<b>144F:Population Health</b>						
<b>Schedule #:</b> 658 147#:Adolescent Health Care Services Grants						
Standard agreemtn between Maternal & Child Health and provider of health services, including objectives of program, budget, contracts/agreements/subcontracts, appropriation from which payment should be made, amount of contract, type of agreement.	Paper	12/17/1987	Years 10	No Retention	0	Destroy Current
<b>Schedule #:</b> 658 148#:Adolescent Health Care Grantee Site Reports						
Notes summarizing information obtained during agency staff visits to grantees. Information typically includes clients targeted; geographic area served; number of clients served; staff in-service training provided; client records maintained.	Paper	12/17/1987	Years 10	No Retention	0	Destroy Current
<b>Schedule #:</b> 658 149#:Adolescent Health Care Policy File						
Grant Policy Manual, Div. of Maternal and Child Health; form letter used to provide information to inquiring institutions concerning grant requirements; legislative documents affecting agency programs; various nonrecord materials, such as newspaper articles.	Paper	12/17/1987	Years 2	No Retention	0	Destroy Current
<b>144S:Programs, Office of</b>						
<b>Schedule #:</b> 172 10#:Municipal Expenditure Statements						
SWGA 004, Itemized Expenditure Forms, SWGA 015, Statistical Reports SWGA 099	Paper	7/3/1986	Years 2	No Retention	0	Destroy Current
<b>148#:Child and Family Services</b>						
<b>Schedule #:</b> 212 12#:Adoptive Home Records						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Adoptive Home Records are confidential records (by Law of State) of a couple and the child to be adopted. These folders are kept in the District Office only until the adoption has been completed. It is then sent to OCFS Records Management Center to be recorded. The folders may consist of the following information: Application to Adopt a Child; Verification of Birth Data; Notice of Reclassificaton; Confidential Records; Adoptive Home Study; Child's record; Vital Statistics Records; Health and Medical Record; Adoptive Home Placement Agreement; Newborn Record; Completion of Adoption. Records were retained in agency until closed.	Paper	8/30/2021	Contingent Upon Event - See Description	No Retention	0	Destroy	Current	
The State Records Center transferred 701 boxes to the DHHS storage facility at 64 Royal St., Winthrop, Maine. The records will live out their 100-year retention at this facility, retention begins from date of completion of adoption. Any new adoption records created at the agency will be recorded and managed under schedule 430 series 27C Adoption Cases.								
Schedule #:	601	13A:Child Care Licensing - Licensing Unit - A. Regular Cases						
Day Care Homes, Day Care Center, Nursery Schools, Childrens Foster Homes, Shelter for Homeless Youth, Emergency Shelter, and Children’s Residential Child placing agencies, contains license approval letter, application medical form, five reports, references, evaluations visits certificate of Standards, Insurance Certificate, educational qualifications, floor plans, correspondence and related documents. Retain in agency until inactive.	Paper	4/17/1997	Contingent Upon Event - See Description	0	Years	8	Destroy	Current
Schedule #:	601	13B:Child Care Licensing - Licensing Unit - B. Denials, Revocation						
Day Care Homes, Day Care Center, Nursery Schools, Childrens Foster Homes, Child placing agencies, contains license approval letter, application medical form, five reports, references, evaluations visits certificate of Standards, Insurance Certificate, educational qualifications, floor plans, correspondence and related documents. Keep in agency 10 years after license denied/revoked.	Paper	4/17/1997	Years	10	Years	10	Destroy	Current
Schedule #:	601	14#:Day Care Registrations - Licensing Unit						
Includes Residential facilities and Home baby setting services: Includes applications, approvals, licenses, medical forms, references, evaluations, correspondence and related documents. Retain in agency 5 years after inactive, unless license revoked--then retain 30 years after revoked.	Paper	3/19/1987	Variable - See Description	0	No Retention	0	Destroy	Current

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## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Includes Residential facilities and Home baby setting services: Includes applications, approvals, licenses, medical forms, references, evaluations, correspondence and related documents. Retain in agency until updated.	Computer Printout	3/19/1987	Destroy When Updated	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 601 22#:Interstate Compact Files - Bureau of Social Services								
Contains information on abused and neglected children: case studies, home studies, progress reports, custody order, ICPC forms, correspondence and related documents. Retain in agency until microfiched.	Paper	5/8/1987	Destroy After Conversion to Another Medium	0	No Retention	0	Destroy	Current
Contains information on abused and neglected children: case studies, home studies, progress reports, custody order, ICPC forms, correspondence and related documents. Retain in agency until age of majority for youngest family member.	Microfiche	5/8/1987	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 601 27#:CFS Institutional Child Abuse files - Child Family Services								
Child protective report, intake sheet, medical reports, police reports, correspondence, and related documents.	Paper	5/8/1987	Years	10	No Retention	0	Destroy	Current
<b>Schedule #:</b> 601 28#:Residential Group Services Files								
Social summaries, prepared evaluation team, psych. evaluations, correspondence and related documents. Deals with emotionally or behaviorally disturbed children. Retain in agency until 25 years of age.	Paper	5/8/1987	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 601 31#:Directors File - Bureau of Social Services								
Contains letters, memos, reports and other documents relating to Bureau programs.	Paper	5/8/1987	Years	5	No Retention	0	Archives	Current
<b>Schedule #:</b> 1436 31:Adoption Assistance Payment Cases								

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The Bureau monitors monies sent to children from the Federal Adoption Assistance Program, which disperses for board and care for children in special needs adoptive placement. Keep in agency until closed.	Paper	4/24/2002	Years 0	Years 0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1436 32:Social Security Payment Cases						
This Bureau monitors monies sent to children from the Social Security Administration which DHS disburses for board and care for children in the Department's custody. Keep in agency until case closed, then destroy.	Paper	4/24/2002	Retain Until Inactive	2 Years	0	Destroy Current
<hr/>						
<b>Schedule #:</b> 1644 33#:Certified Residential Medication Aide & Personal Support Specialist Training						
These records support the Certified Residential Medication Aide & Personal Support Specialist training records. These records are used by the Assistant Director, Health Services Consultant and clerical staff to retrieve information on students, instructors and providers. These records will be used as part of a future database registry to be scheduled at a later date (when completed) to track students work history and prior certification. These files hold personal student, provider and instructor information as listed: Notification form, Validation form, Student Information form, Final Grade form, Checklist form, CRMA Trainer form, copy of State Board of Nursing License form, Course Evaluation, student's previous certificates. This is a training for students to be able to service medications in assisted living homes. PSS is trained to do bedside care of residents.	Hard Disk	2/13/2006	Years 1	Years 7	Destroy	Current
<hr/>						
These records support the Certified Residential Medication Aide & Personal Support Specialist training records. These records are used by the Assistant Director, Health Services Consultant and clerical staff to retrieve information on students, instructors and providers. These records will be used as part of a future database registry to be scheduled at a later date (when completed) to track students work history and prior certification. These files hold personal student, provider and instructor information as listed: Notification form, Validation form, Student Information form, Final Grade form, Checklist form, CRMA Trainer form, copy of State Board of Nursing License form, Course Evaluation, student's previous certificates. This is a training for students to be able to service medications in assisted living homes. PSS is trained to do bedside care of residents.	Paper	2/13/2006	Years 1	Years 7	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1879 34#:Substantiation Files						



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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Child Welfare pertinent to District Operations. Records are used by Child Welfare to review findings as appropriate. File consists of original request for review letter/materials submitted by appellant, attorney letters/material. Administrative Hearings material and reviewer's findings. These records are appeals only. In agency until review is complete.	Record Copy	1/4/2012	Contingent Upon Event - See Description	0	Years 5	Destroy Current
<b>203#:Dental Health</b>						
<b>Schedule #:</b> 508 68#:General Office Files - Office of Dental Health						
Contains general correspondence to and from this office, requests for information, applications to Maternal & Child Health for grants, expense accounts, purchase orders, dental health materials for preschool, school, and school age children, miscellaneous other materials related to daily operations.	Paper	10/15/1986	Years	3	No Retention	0 Destroy Current
<b>Schedule #:</b> 508 70#:Well Child Clinic Dental Program						
Card file: abstracted information from Public Health Nursing files.	Paper	10/15/1986	Years	5	No Retention	0 Destroy Current
<b>282#:Dental Health Council</b>						
<b>Schedule #:</b> 827 1#:Minutes (Maine Dental Health Council)						
Meeting announcements; attendance; discussions; decisions; recommendations. The Council advises and consults on matters related to dental health. And it promotes and assists activities designed to meet the problems of dental health.	Paper	4/25/1990	Years	3	No Retention	0 Archives Current
<b>Schedule #:</b> 827 2#:Correspondence (Maine Dental Health Council)						
Correspondence from the Council regarding: new employees; agenda; information regarding meetings; answers to inquiries; letters of awards.	Paper	4/25/1990	Years	1	No Retention	0 Destroy Current
<b>9999#:Division of Community Services</b>						
<b>Schedule #:</b> 1348 1#:Federal Grants for Social Services						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
These are Federal grants to provide services to vulnerable population groups such as child care, family violence, etc. Files include: applicable laws, grants, and any related correspondence.	Paper	7/13/2000	Years 2	Years 2	Destroy	Current
<b>149#:Elder and Adult Services</b>						
<b>Schedule #:</b> 1216      20#:Community Resource Development Unit - Certificate of Need						
Financial data from corporations, applications of Certificate of Need, demographics data on clients/potential served, annual reports, cost reports used for analysis of application. Files include: Reconciliation of Payroll and Taxes; Related Party Information; Cost Report for Nursing Facilities; Schedule of Allowable Costs; Semi-private Charge to the General Public; Methods of allocation; etc. These records are created while certifying that a nursing care facility is actually needed in a particular area in connection with the need for residential care. Keep in agency one year after closing.	Paper	1/12/1997	Years 1	Years 7	Destroy	Current
<b>Schedule #:</b> 1217      24#:Bureau of Elder and Adult Services - Community Resource Development Unit - Cost Reimbursement to Nur						
The Bureau of Elder and Adult Services distributes Federal funds as "cost reimbursement" to long-term care facilities such as nursing homes and boarding homes. This record series contains correspondence among BEAS Community Resource Development Unit, providers of services (nursing homes, boarding homes, and other "congregate housing" providers), and Federal agencies providing funds. This correspondence concerns changes in state and Federal policies, distribution of funds allocated by BEAS to this program, and requirements/procedures for facilities to receive reimbursement for their expenditures. This series is arranged by provider, not by individual client.	Paper	1/12/1997	Years 1	Years 7	Destroy	Current
<b>Schedule #:</b> 1241      25:DHS AMHI Consent Decree Evidence Files						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Agency retained an evidence file because Superior Court Civil Action requires it. The records are used when the court master asked the Department to prove any action related to the settlement agreement between the plaintiffs and the defendants. Documents found in the files are AMHI investigations and the results of the investigations. Files include: the interrogatories of the original lawsuit; the General Consent Decree's document; the Settlement agreement; the the fiscal supplements and the implementation plan and report; the assessment of all AMHI wards and the ISP Committee notes; general facts and information related to BMHI and Judge Mitchell reports. These documents are required to be kept until the final order to release the State of ME from the Settlement Agreement and the end of the Consent Decree.	Paper	2/11/1997	Years	1	Years	20	Archives	Current
<b>339#:Environmental Health Advisory Committee</b>								
<b>Schedule #:</b>	828	1#:Minutes (Environmental Health Advisory Committee)						
The EHAC assists and consults with DHS on public health implications of hazardous elements in the environment and make recommendations for a more healthfulenvironment. Disk file - retain until updated.	Digital File	5/2/1990	Destroy When Updated	0	No Retention	0	Destroy	Current
The EHAC assists and consults with DHS on public health implications of hazardous elements in the enviroment and make recommendations for a more healthfulenvironment.	Paper	5/2/1990	Years	10	No Retention	0	Archives	Current
<b>147#:Public Health Nursing</b>								
<b>Schedule #:</b>	13	1#:Immunization Permission Slips						
File consists of immunization permission forms signed by parent or guardian of children granting right to inoculate child against various diseases. Forms also contain certain health history for child. Forms contained in file are: PHN 43, HDC 3,6,10,11,12, and 14.	Paper	4/17/2002	Years	3	Years	20	Destroy	Current
<b>Schedule #:</b>	512	72#:Memos, Staff Meetings - Public Health Nursing						
Memos to Nursing Supervisors and staff; notices to staff of meetings and minutes.	Paper	4/17/2002	Years	5	No Retention	0	Destroy	Current
<b>Schedule #:</b>	512	74#:Director's File - Public Health Nursing						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Correspondence to and from other units of Bureau or Department; Bureau of Health Plan objectives to promote health; related material and correspondence. Updated every 6 months.	Paper	7/14/1986	Destroy When Updated	0	No Retention	0	Destroy	Current
<b>Schedule #:</b> 512 75#:Historical File - Public Health Nursing								
Documents relating to early activities of the Division.	Paper	7/14/1986	Years	20	No Retention	0	Archives	Current
<b>Schedule #:</b> 512 79#:SIDS File								
Medical examiner's reports, autopsy reports, correspondence (bereavement issues).	Paper	7/14/1986	Years	5	No Retention	0	Destroy	Current
<b>Schedule #:</b> 512 80#:SIDS General File								
Contains general material relating to SIDS, such as workshops, brochures, other States, etc.; correspondence, evaluation sheets, assessments, training notes, statistics.	Paper	4/17/2002	Years	5	No Retention	0	Destroy	Current
<b>Schedule #:</b> 512 81#:Well Child Clinic Program								
Includes lead screening material, fluoride, work agreements. Workshops, etc., plus related correspondence.	Paper	7/14/1986	Years	2	No Retention	0	Destroy	Current
<b>Schedule #:</b> 512 82#:General Resource File - Well Child Program								
Copies of bills processed for physicians and laboratory technicians who work in well-child clinics, working agreements with agencies and physicians, workshop material. Retain 1 to 5 years depending on content.	Paper	7/14/1986	Years	5	No Retention	0	Destroy	Current
<b>Schedule #:</b> 512 83#:Childhood Mortality Prevention Program								
Research material; interviews with parents of deceased children and parents of children not deceased as a control and supporting documents and related correspondence. Retention period begins upon project completion.	Paper	7/14/1986	Years	4	No Retention	0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1019 84#:Childhood Lead Poisoning Program  This program screens, provides medical nursing and environmental services for children under 6 years, who are at risk for/or have elevated blood lead levels. Files contain: violation notices; evaluation reports, violation follow-up and miscellaneous correspondence.	Paper	1/25/1993	Years 2	Years 18	Destroy	Current
<b>Schedule #:</b> 1734 85#: Accepted Referral for Public Health Nursing (PHN) Services  When a referral for services for Public Health Nursing (PHN) is made, information about the referral is documented on a referral for PHN Services form. This form becomes part of the client record. These documents are used by the Public Health Nurses to provide services to the client. The record supports what services are needed for the client of the PHN program and is the beginning of the client's medical record. This series includes Referral for PHN Services Forms.	Paper	5/19/2009	Years 1	Years 24	Destroy	Current
<b>Schedule #:</b> 1734 86#: Non – Acceptance of Referral for Public Health Nursing (PHN) Services  When a referral for services for Public Health Nursing (PHN) is made, information about the referral is documented on a referral for PHN Services form. When a client does not accept services from PHN the record has transitory value. The record supports what services are needed for the client. This record indicates the client did not accept services. This series includes the Referral for PHN Services form. The PHN intake staff uses this document non acceptance of services. Retain for 2 months.	Paper	5/19/2009	Retain Until Inactive	0	0 Destroy	Current
<b>Schedule #:</b> 1735 87#:Immunization Clinic Records - Child  Individuals who receive vaccines at immunization clinics must have a parent sign a consent for services and have a health screen done. Records are kept on individuals that receive vaccine at immunization clinics, such as influenza vaccine. The Public Health Nurses use the form to keep track of who received the vaccine, the lot number of the vaccine and the number receiving the vaccine. The Centers for Disease Control and Prevention, the National Immunization Program and the Maine Immunization program require this information be obtained. This series includes an Health Screen Record, Consent Form, Refusal to Remain at Clinic Form and Clinic Roster.	Paper	5/19/2009	Years 3	Years 22	Destroy	Current
<b>Schedule #:</b> 1735 88#:Immunization Clinic Records - Adult						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Individuals who receive vaccine at immunization clinics must sign a consent for services and have a health screen performed. Records are kept on individuals that receive vaccine at immunization clinics, such as influenza vaccine. The Public Health nurses use the forms to keep track of who received the vaccine, the lot number of the vaccine and the number receiving the vaccine. The Centers for Disease Control and Prevention (CDC), National Immunization Program and the Maine Immunization Program require the previous information be obtained. This service includes the Health Screen Record, the Consent, the Refusal to Remain at the Clinic form and Clinic Roster.	Paper	5/19/2009 Years	3	Years 4	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1736 89#:Focused Record Reviews						
Clinical Records are reviewed periodically to evaluate compliance with program procedures and the quality of Care given to clients. The community Health Accreditation Process requires that Public Health Nursing (PHN) perform audits on clinical records to determine if charts are complete and that the standard of care is being provided to clients. Once audits are completed reports are reviewed by the management team to determine if programmatic changes are needed to improve services. The PHN management team uses the records to make decision to improve PHN services to clients. The Safety and Risk Management Committee uses the forms to make decisions when needed to reduce incidence of cross contamination and lessen the risk of infection to staff and clients. Documents include Focused Review Report.	Paper	5/19/2009 Years	5	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1737 90#: Public Health Nursing (PHN) Event Documentation and Reporting Forms						
The PHN Consultant uses these documents to support the Safety and Risk Management program to reduce injuries and losses. These records are used to record events that occur within Public Health Nursing (PHN) and are not client related or do not result in an injury to an employee. An example would be the refrigerator that stores vaccine is found to be either too hot or too cold to safely store vaccine. The event would be documented on this form. The Safety and Risk Management consultant and the Safety Committee review these events to identify trends in order to prevent these events from occurring again. Documents in the series are Event Documentation and Reporting Form.	Paper	5/19/2009 Years	5	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1738 91#:Public Health Nursing (PHN) Complaint Form and Log						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The Director of Public Health Nursing uses the forms to support the Quality Improvement Committee goals of providing the highest standards of care. When a client complaint is received in Public Health Nursing it is recorded on this form. Complaints are investigated and appropriate action is taken. A copy is faxed to the Department of Health and Human Services Personnel Department. The Director of Public Health Nursing reviews any complaints that are received and follows up on them. The data is also used to see if there are trends and if there is a systems failure that needs to be addressed and amended. Documents in this file are Complaint and / or Client Concerns Log, Complaint and / or Concern Intake Form; PHN Staff Nurse Response to Complaint and / or Concern Form.	Paper	5/19/2009 Years	4	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1739 92#: Infection Control Reports						
Records are maintained on all infectious diseases for staff and clients. All supervisors keep track of any clients / staff that are infectious and report these to Public Health Nursing (PHN) Central Office on the PHN Infection Report. The results are analyzed and reviewed by the Safety and Risk Management Public Health Consultant and Committee to determine if any cross contamination has occurred between staff and clients or staff and staff. Documents include PHN Infection Report.	Paper	5/19/2009 Years	5	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1740 93#:Refrigerator/Freezer Temperature logs						
Public Health Nursing (PHN) does immunization Clinics. The records are used to record the temperature of the refrigerator / cooler when vaccine is stored in it. The Immunization program and Centers for Disease Control and Prevention (CDC) require that a record be kept of temperature of the refrigerator. The temperature must be recorded twice a day. A log is used to record the temperatures. Records are also kept during transport from one location to another as well as during immunization clinics. Vaccines are temperature sensitive. The Director of PHN uses the records to support documentation that the integrity of the vaccine has not been compromised.	Paper	5/19/2009 Years	3	0	Destroy	Current
<hr/>						
The series includes the Record of Transport of Vaccine Sheet, Refrigerator Temperature Log, Freezer Temperature Log.						
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<b>Schedule #:</b> 1741 94#: Clinical affiliation agreement / Memorandum of Understanding (MOU)						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Students from various universities participate in clinical experiences in Public Health Nursing (PHN) as part of their educational process. Public Health Nursing provides opportunities for student nurses to gain valuable experience in Public Health to learn, to advocate, case manage, assess needs and provide services to clients. Clinical agreements / MOU define the duties and responsibilities of each institution. These records document PHN's practice to support the education of future nurses. Clinical agreements are used by the Director of Public Health Nursing to provide oversight to ensure that the rules of the Maine State Board of Nursing are maintained. The documents are also kept to maintain a record of each party's responsibilities since agreements are not signed yearly. This series will include Clinical Affiliation agreements and Memorandum of Understanding agreements.	Paper	5/19/2009 Years	3	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1742 95#:Medication Disposal Record						
Medications are given to Public Health Nursing (PHN) Clients. At times there is left over medication that needs to be disposed of. Riverview Psychiatric Hospital Pharmacy disposes of our left over medications. Records are kept to show that the meds are being disposed of properly. Medication disposal records keep track of the name of the medication the amount of medication and the date of the disposal. The Director of PHN uses these records to show proof that medications are being disposed of properly. A typical file contains medication disposal records.	Paper	5/19/2009 Years	2	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1742 96#: Biomedical Waste Disposal						
Public Health Nurses (PHN) generate biomedical waste, such as dirty syringes and needles, in performance of some of their duties. The Department of Environmental Protection (DEP) outlines the procedures for disposal of biomedical waste. These records include the type of biomedical waste, the amount of waste, the date of disposal and the location of disposal. The Director of Public Health Nurses uses these records to show proof of PHN's practice for the proper disposal of biomedical waste. This record series includes Waste Disposal Logs and Biomedical Waste Receipt Forms.	Paper	5/19/2009 Years	3	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1743 97#: Vaccine, Antigen and Medication Inventory logs and worksheets						



# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Public Health Nursing (PHN) conducts immunization clinics throughout the year in collaboration with the Maine Immunization Program and Athem Blue Cross and Blue Shield Vaccines are used for the clinics.  To keep track of inventory of vaccine, purified protein derivative antigen and some medication. The Public Health Immunization Nurse Consultant uses these records to support PHN practice and help to ensure that all vaccine is accounted for vaccine etc. that arrived in Public Health Nursing offices. It also shows how many were used, where they were distributed and how many remain on hand.  The Public Health Immunization Nurse Consultant these records support PHN practice and help to ensure that all vaccine is accounted for. This series contains the PHN Vaccine Worksheet.	Paper	5/19/2009 Years	3	0	Destroy	Current

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**Schedule #:** 1744 98#: Sharps Injury Log

The Occupational Safety and Health Administration (OSHA) requires that programs maintain a list of injuries that occur due to needle – sticks and other sharp objects. These documents are kept to have a record of needle stick injuries that have occurred in Public Health Nursing (PHN). The Safety and Risk Management Consultant and Safety Committee analyze the data to look for trends in order to decrease this type of injury. Type of Records in the series are the SHARPS Injury Log. The PHN consultant uses these records to support the Safety and Risk Management Program Mission to reduce injuries and losses	Paper	5/19/2009 Years	5	0	Destroy	Current
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**Schedule #:** 1745 99#: Health Insurance Portability and Accountability Act (HIPAA) Audits & Results

The Health Insurance Portability and Accountability Act (HIPAA) Requires programs to conduct audits to look for compliance issues and vulnerabilities in the Public Health Nursing program. Worksheets are created to facilitate the audits as well as record the results of the findings. The information is used to strengthen Public Health Nursing's (PHN) compliance with HIPAA. The management teams of PHN review and analyze the data and make recommendations for change in order to strengthen PHN practice concerning confidentiality practices. Documents in the file include: Individual Work Practice Audit Worksheet; Results of HIPAA Audit; HIPAA Office Audit Worksheet. The PHN Management team uses the documents to support the Quality Improvement Committee to maintain Confidentiality of Client Information.	Paper	5/19/2009 Years	6	0	Destroy	Current
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# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 1746      100#: Public Health Nursing Client Incident Reports  If a nurse enters a client's home without permission, the incident is recorded and given to the supervisor. The incident is reviewed to determine if and how the incident could have been avoided in order to prevent similar incidents from reoccurring to other clients. The Safety and Risk Management consultant and the Safety and Risk Committee review and analyze the data to identify trends in order to reduce these types of incidents from happening to PHN clients. Types of documents are the Pubic Health Nursing Client Incident Reporting Form. The PHN Consultant uses these records to support the Safety and Risk Management Program to prevent injuries to clients and reduce losses.	Paper	5/19/2009	Years 5	0	Destroy	Current
<b>Schedule #:</b> 1747      101#: Roster of trainings for outside agencies; results of training  Public Health Nursing (PHN) conducts trainings for individuals on various health related topics. Records are kept of who attends the trainings and results of training if applicable. These records show who attended which training and allows PHN to track number of trainings done, the locations and type of trainings done. At times participants request verification that they attended training and the records support that. The PHN Consultant uses the records to verify attendance at training if requested. This series includes Sign In Sheets and Roster.	Paper	5/19/2009	Years 5	0	Destroy	Current
<b>Schedule #:</b> 1747      102#: Evaluation of training  After training is completed the participant completes an evaluation of the program. The Public Health Nurse Consultant uses the information to make improvements to program content. The participants evaluate the content of the program as to whether it meets the objectives of the course. They also evaluate the presenters and offer comments for improvements. The information is reviewed by Public health Nursing to see if they are meeting the goals of the course and if changes are needed. This series includes Evaluation Forms. Retain for 6 mo.	Paper	5/19/2009	Variable - See Description	0	Destroy	Current
<b>Schedule #:</b> 1748      103#: Targeted Case Management Record Review Reports						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Public Health Nurses provide services to specific groups of the population such as post partum mothers. Public Health Nursing (PHN) perform Targeted Case Management Services for clients. Services must meet certain criteria. These records are reviewed by PHN Consultants for quality assurance purposes. The results of the review are recorded and analyzed for further action in order to improve Public Health Nursing Services to clients and for reimbursement purposes. Document includes Public Health Nursing TCM Review. The PHN Consultant uses the records to show proof that services were provided for reimbursement purposes.	Paper	5/19/2009 Years	5	0	Destroy	Current
<hr/>						
<b>Schedule #:</b> 1749 104#: Adverse Event Reporting						
If a client receives a shock from a piece of medical equipment Public Health Nursing (PHN) is responsible to report to the Centers for Disease Control and Prevention (CDC) and to the Food and Drug Administration (FDA) if an adverse event occurs to a client after receiving a vaccine or if an individual is injured due to a malfunctioning of equipment. This form provides documentation that the reports were filed. The Director of PHN uses the document to report the event. The series includes the Adverse Event Reporting Form and the Med Watch Form.	Paper	5/19/2009 Years	3	0	Destroy	Current
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<b>476#:Scientific Advisory Panel</b>						
<b>Schedule #:</b> 830 1#:Minutes (Scientific Advisory Panel)						
Meeting announcements, Summary (Minutes), and related correspondence.	Paper	4/18/1990 Years	10	No Retention	0	Archives Current
<hr/>						
Meeting announcements, Summary (Minutes), and related correspondence. Retain disk file until updated.	Digital File	4/18/1990 Destroy When Updated	0	No Retention	0	Destroy Current
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<b>146#:Vital Statistics, Office of</b>						
<b>Schedule #:</b> 336 4#:Scrap Book of News Clippings, State Bd. of Embalmers Case Book, 1922						
Scrap book of news clippings; State Board of Embalmers cash book, 1922; Manual of the International Statistical Classification of Diseases, Injuries, and Causes of Death, Volumes 1 & 2; and Crippled Children Plan, 1952.	Paper	1/22/1985 Years	0	No Retention	0	Archives Current
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# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 456 5#:Vital Statistics Key punch Cards						
Marriages 1955-59; Adoptions 1952-65; Divorces & Annulments 1954-59; Births 1954-65; Deaths 1951-66. Destroy 1/88 (already in Records Center).	Paper	3/7/1986	Years	0	Contingent Upon Event - See Description	0 Destroy Current
<b>Schedule #:</b> 638 35#:Vital Records Index						
Index of all births deaths, marriages, divorces from 1956 to present.	Paper	9/21/1987	Years	100	No Retention	0 Archives Current
<b>Schedule #:</b> 638 36A:State Copy - License & Certificate of Marriage						
State copies of all marriage certificates filed in State of Maine. Prepared by Municipal Clerks. Original kept by Municipal Clerks. Microfilmed at MSA for security only--samples sent to NCHS.	Paper	9/21/1987	Years	100	No Retention	0 Archives Current
State copies of all marriage certificates filed in State of Maine. Prepared by Municipal Clerks. Original kept by Municipal Clerks. Microfilmed at MSA for security only--samples sent to NCHS.	Roll Microfilm	9/21/1987	Years	100	No Retention	100 Archives Current
<b>Schedule #:</b> 638 36B:State Copy - License & Certificate of Marriage (1892-1922)						
State copies of all marriage certificates filed in State of Maine. Prepared by Municipal Clerks. Original kept by Municipal Clerks.	Paper	7/30/1990	Years	68	No Retention	0 Archives Current
<b>Schedule #:</b> 638 37#:Divorces & Annulments - Clerk of Courts Book 1892-1963						
Record of all divorces and annulments in the State of Maine from Superior/District Courts.	Paper	9/21/1987	Years	100	No Retention	0 Archives Current
<b>Schedule #:</b> 638 38#:Record of Divorce or Annulment						
Record of all divorces and annulments in the State of Maine from Superior/District Courts.	Paper	9/21/1987	Years	100	No Retention	0 Archives Current

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>Schedule #:</b> 638 39A:State Copy - Certificate of Live Birth 1892-1956 Original certificate of all live births in the State of Maine from 1892 to 1956 sent to Municipal Clerks. Copy kept in Municipal Clerks Office. Security film only at Archives.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
<b>Schedule #:</b> 638 39B:State Copy - Certificate of Live Birth 1892-1922 Original certificate of all live births in the State of Maine from 1892 to 1956 sent from Municipal Clerks. Copy kept in Municipal Clerks Office.	Paper	7/30/1990	Years 68	No Retention 0	Archives	Current
<b>Schedule #:</b> 638 40#:State Copy - Certificate of Live Birth 1956 and After Original State Copy of all live births in the State of Maine prepared by hospitals, midwives, etc. Sent to Municipal Clerk for filing. Original forwarded to agency. Filmed at MSA for security only; copy sent to NCHS.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
<b>Schedule #:</b> 638 41#:Certificate of Live Birth - Medical Record Fourth copy of Birth Certificate containing all medical information completed by hospitals. Sent to agency on a weekly basis. Security film at Archives; reference copy in agency.	Roll Microfilm	9/21/1987	Years 100	No Retention 0	Destroy	Current
Fourth copy of Birth Certificate containing all medical information completed by hospitals. Sent to agency on a weekly basis. Destroy paper after microfilming.	Paper	9/21/1987	Destroy After Conversion to Another Medium 0	No Retention 0	Destroy	Current
<b>Schedule #:</b> 638 42#:Report of Abortion Original report of all abortions occurring in the State of Maine prepared by physician. Filmed at MSA for security only; copy sent to NCHS.	Paper	9/21/1987	Years 3	No Retention 0	Destroy	Current
<b>Schedule #:</b> 638 43A:State Copy - Certificate of Death						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Original certificate of all deaths in the State of Maine. Copy filed by funeral director with Municipal Clerk and place of resident if different from place of event. Filmed at MSA for security only; copy sent to NCHS. Paper is returned to agency.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
Original certificate of all deaths in the State of Maine. Copy filed by funeral director with Municipal Clerk and place of resident if different from place of event. Filmed at MSA for security only; copy sent to NCHS. Paper is returned to agency.	Roll Microfilm	9/21/1987	Years 100	Years 100	Archives	Current
<b>Schedule #:</b> 638 43B:State Copy - Certificate of Death (1892-1922)						
Original certificate of all deaths in the State of Maine. Copy filed by funeral director with Municipal Clerk and place of residence if different from place of event.	Paper	7/30/1990	Years 68	No Retention 0	Archives	Current
<b>Schedule #:</b> 638 44#:State Certificate of Fetal Death						
Original of all certificates of fetal deaths in the State of Maine prepared by physician. Copy kept by Municipal Clerk at place of occurrence. Filmed at MSA for security only; copy sent to NCHS.	Paper	9/21/1987	Years 100	No Retention 0	Archives	Current
<b>Schedule #:</b> 797 45#:Birth Clerk - Correspondence						
Correspondence mostly related to requests for birth record copies (including forms used for this purpose). Files include copies of birth certificates, working papers, and general correspondence.	Paper	10/31/1989	Years 5	No Retention 0	Destroy	Current
<b>Schedule #:</b> 820 46#:Adoption Task Force Opinion Questionnaire						
Opinion surveys for the Adoption Task Force.	Magnetic Tape	3/12/1990	Years 50	No Retention 0	Destroy	Current
Opinion surveys for the Adoption Task Force.	Paper	3/12/1990	Years 0	Years 25	Destroy	Current
<b>Schedule #:</b> 831 47#:PRAMS Surveys						

# Department Series Report

## 10: Human Services

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Maine Pregnancy Risk Assessment Monitoring System (PRAMS) Survey of the Health of Mothers and Babies in Maine, mail and telephone variations of same survey.	Digital File	5/8/1990	Years 75	No Retention	0 Destroy	Current
Maine Pregnancy Risk Assessment Monitoring System (PRAMS) Survey of the Health of Mothers and Babies in Maine, mail and telephone variations of same survey.	Paper	3/20/1995	Years 1	No Retention	0 Destroy	Current
<b>Schedule #:</b> 862 48A:Depositions-Vital Records						
Amendments to birth, death and marriage records.	Paper	8/3/1990	Years 100	No Retention	0 Archives	Current
<b>Schedule #:</b> 862 48B:Depositions-Vital Records (1892-1922)						
Amendments to birth, death and marriage records.	Paper	8/3/1990	Years 0	No Retention	0 Archives	Current
<b>Schedule #:</b> 1428 49:Pregnancy Risk Assessment Monitoring System (PRAMS) History and Protocol.						
The PRAMS Project was initiated in 1987 to survey new mothers in the state on their health behaviors before, during, and after pregnancy. The information is used to develop new programs, improve existing maternal and child health programs. Women who have had children are sampled from the birth certificate, surveyed, the data computerized, and used by state staff for reports, presentations, policy and program development. The Centers for Disease Control and Prevention in Atlanta are sent the data monthly, ODRVS sends the birth certificate file to them, the data are compiled for the year, an analysis dataset is sent back to ODRVS, and then used for data analysis purposes. Reports are created, disseminated to public health professionals, physicians, libraries, etc. Included in the program are applications, State of Maine protocols, and related correspondence.	Paper	2/25/2002	Years 5	Years 15	Destroy	Current